

	Qtr 2			Qtr 3			Qtr 4		
	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm	Low/Medium Risk Firm
	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm	High Risk Firm
Firms subject to active supervisory engagement and or enforcement:									
Information Requirement and or Notice to Attend	0	0	0	0	2	0	0	0	0
Pre Inspection prep	0	0	0	0	0	0	0	0	0
Onsite Inspection/ Desk-based review	0	0	0	0	0	0	0	0	0
Inspection Report	0	1	1	0	4	5	2	1	1
Remedial Action Plan Monitoring	1	1	1	1	0	2	0	0	0
Supervision referral review	0	0	0	0	0	0	0	0	0
Breach Notice Issued	0	0	0	0	0	0	0	0	0
Fine Notice Issued	0	0	0	0	0	0	0	0	0
ODPP referral	1	2	1	4	4	3	2	1	1
SUB TOTAL	1	2	2	11	11	11	11	11	11
HR Firm SUB TOTAL	1	2	2	11	11	11	11	11	11
Implement electronic AML Annual Return									
Analyse AML Annual Return responses	1	55	3						
Finalise NRA 2021 - Chapter on Lawyers									
Update Legal Sector Risk Assessment									