



## Compliance



Address

Incorrect

0

\$0



Suitability

Outdated KYC

12

\$320,444

Missing KYC\*\*

0

\$0

Unsuitable

2

\$7,390

Concentration

0

n/a

Trade Watch

6



Unresolved Inquiries

Orders

0

Plans

0

KYCs

1

## Operations



GIC

30 Days  
Maturing

6

Total

22

AWD Insufficient Fund  
Balance\*

1-2 days

0

3 days

0

4+ days

0



Cash Account\*

Balance

25

\$538,193



Client Portal

Registration

36%

84



E-Delivery

Registration

50%

117

No Email  
Address

0

Not registered  
on the portal

41

\*\*This number may include plans with only segregated funds sold under Dealer Code 3025