ThirdNexa

SAMPLE EXAM EXCEPTIONS REPORT

Overdue requests and evidence gaps

Harbor Ridge Wealth Advisors

12	2	3	2
Total requests	Past due	Evidence gaps	Owners assigned

Items needing attention

The tracker identifies dates and missing linked records from the firm's own entries. Owners decide what follow-up is appropriate, attach the resulting evidence, and record completion.

REF	REQUEST	OWNER	DUE	STATUS	RECORDED GAP
05	Business continuity evidence	Maya Chen	Sep 29, 2026	**Past due**	Current recovery-test result not linked
09	Material vendor contracts	Daniel Ortiz	Oct 1, 2026	**Past due**	Executed contract missing for one vendor
12	Vendor incident response	Maya Chen	Oct 9, 2026	**In progress**	Vendor notice date not recorded

How the firm clears an exception

1. Confirm the gap. The owner checks the request and the linked vendor record.
2. Collect or update evidence. Upload the missing item, link an existing record, or document why it is unavailable.
3. Record the resolution. Add a dated note and update the request status. The firm—not ThirdNexa—decides whether the response is ready.

EXCEPTION DETAIL

Request 05 — Business continuity evidence

Owner: Maya Chen • Due: September 29, 2026 • Status: Past due

Request description	Provide current business continuity and recovery-testing evidence for key service providers.
Recorded gap	Northstar Cloud Services has a current continuity plan, but the latest recovery-test result is not linked to this request.
Owner follow-up	Maya requested the 2026 test summary from the vendor on October 1. Follow-up is due October 4.

Linked vendor evidence

RECORD	STATE	OWNER ACTION
Northstar Cloud Services	Linked	Confirm vendor and service scope
2026 continuity plan	Linked	No action recorded
2026 recovery-test result	**Missing**	Obtain from vendor or record why unavailable
Follow-up finding	Open	Attach response, add resolution note, then send for reviewer verification

Resolution path

Current owner	Maya Chen
Next action	Link the vendor’s test result when received, or record the firm’s decision and rationale if it remains unavailable.
Reviewer step	Daniel Ortiz verifies the new link and the recorded scope before the request status changes.
Completion record	The request history retains the former due date, follow-up notes, new evidence link, reviewer, and status change.

OWNER ACTION LOG

From open gap to recorded resolution

This sample shows how follow-up stays attributable without the software deciding whether the evidence is adequate.

DATE	ACTOR	RECORDED ACTION	RESULT
Oct 1 9:10 AM	**Maya Chen**	Requested current recovery-test result from vendor contact.	Waiting on vendor
Oct 3 2:25 PM	**Maya Chen**	Uploaded vendor response and linked it to Request 05.	Ready for review
Oct 4 10:05 AM	**Daniel Ortiz**	Verified that the linked record matched the firm’s stated request scope.	**Firm marked resolved**

What remains visible

- ✓ Original due date and past-due history
- ✓ Named owner and every follow-up action
- ✓ The evidence link and reviewer verification
- ✓ The firm’s status change and recorded rationale

Important: All names and records in this report are fictional sample data. ThirdNexa highlights dates and organizes the firm’s recorded evidence. It does not determine whether evidence is sufficient, provide legal or regulatory advice, or guarantee an examination outcome.