ThirdNexa

SAMPLE EXAMINATION-READY REPORT

# 2026 SEC examination

Harbor Ridge Wealth Advisors

| 12 | 5 | 1 | 0 |
|---|---|---|---|
| Total requests | In progress | Produced | Past due |

## Request tracker

Each request is assigned, dated, and connected to the records selected by the firm. This sample shows how vendor evidence remains traceable from request through production.

| REF | REQUEST | OWNER | DUE | STATUS | LINKED RECORDS |
|---|---|---|---|---|---|
| **04** | List of key service providers | Maya Chen | Oct 8, 2026 | **In progress** | Northstar Cloud Services; Day One vendor summary |
| **07** | Vendor due diligence and monitoring | Daniel Ortiz | Oct 10, 2026 | **Open** | Apex Portfolio Systems; 2026 annual due diligence; BCP evidence finding |
| **11** | Material vendor contracts | Priya Shah | Oct 6, 2026 | **Produced** | Meridian Data Exchange; master services agreement; Reg S-P clause review |

## Report scope

Generated from sample request-tracking records on October 2, 2026. The report organizes the firm’s recorded requests, selected vendor evidence, and production history. It does not determine whether any response is complete, adequate, or compliant.

REQUEST DETAIL

# Request 07 — Vendor due diligence and monitoring

Owner: Daniel Ortiz • Due: October 10, 2026 • Status: Open

| | |
|---|---|
| **Request description** | Provide documentation showing the firm’s due diligence and ongoing monitoring for material third-party service providers. |
| **Firm scope note** | Current annual review records for vendors supporting portfolio operations and business continuity. Excludes inactive vendors and draft reviews. |
| **Internal status** | Evidence assembled; BCP testing follow-up remains open. |

## Linked vendor evidence

| TYPE | RECORD | RECORDED DETAIL |
|---|---|---|
| **Vendor record** | Apex Portfolio Systems | Critical tier; portfolio accounting and reconciliation services; active |
| **Annual review** | 2026 annual due diligence | Completed September 18, 2026; firm decision recorded |
| **Questionnaire** | Core vendor due diligence | Returned September 12, 2026; supporting documents attached |
| **Contract** | Master services agreement | Effective January 1, 2025; renewal and notice terms recorded |
| **Finding** | BCP testing evidence follow-up | Open; assigned to Daniel Ortiz; due October 7, 2026 |

## Evidence handling notes

Linked records identify where the firm’s supporting material is maintained. A linked record is not automatically included in a production; the firm chooses the documents and scope it sends.

PRODUCTION LOG

# What was sent, when, and within what scope

Production entries are presented as permanent records in ThirdNexa. This sample illustrates the exported format.

| REQUEST | SENT | METHOD | MATERIALS | SCOPE NOTE |
|---|---|---|---|---|
| **11 — Material vendor contracts** | Oct 1, 2026 3:42 PM | Secure portal | Executed MSA<br>Reg S-P clause review | Executed agreement and current clause review only |

## Record integrity

- ✓ The production is tied to the exact request item.
- ✓ The sender, date, delivery method, materials, and scope are recorded.
- ✓ The firm—not the software—decides what to provide and records that decision.

Important: This is fictional sample data for product demonstration. ThirdNexa organizes records and preserves the firm's recorded work. It does not provide legal or regulatory advice, judge whether a response is adequate, or guarantee any examination outcome.