Daily Compliance Pack

Document Code: DCP-2026-01-18-2e376464
Date: 2026-01-18
Run Code: DAILY-2026-01-18-001
Snapshot Id: SNAP-20260118
Generated At: 2026-01-18T21:13:57.156724+00:00

Executive Summary

Total Controls: 7
Controls Passed: 5
Controls Failed: 2
Controls Warning: 0
Pass Rate: 71.4%
Exceptions Opened: 2
Exceptions Outstanding: 2
Critical Exceptions: 0

Control Failures Summary

New Exceptions

Exception Code	Control	Severity	Title	Status	Due Date
EXC-2026-01-18-002	CONC_SECTOR_001	HIGH	Sector Concentration - Technology breach	open	2026-01-18
EXC-2026-01-18-006	LIQ_T7_001	HIGH	T+7 Liquidity breach	open	2026-01-18

Outstanding Exceptions

Exception Code	Control	Severity	Status	Due Date	Days Open
EXC-2026-01-18-002	CONC_SECTOR_001	HIGH	open	2026-01-18	N/A
EXC-2026-01-18-006	LIQ_T7_001	HIGH	open	2026-01-18	N/A

Compliance Summary Narrative

[LLM-Generated Content - See citations below]

Daily Compliance Summary

Today's compliance review tested 7 controls. 5 controls passed and 2 exceptions were identified.

Exception: Sector Concentration - Technology [Policy: ADV-2B-CUSTODY | Source: SEC Rule 206(4)-2]

Exception: T+7 Liquidity [Policy: ADV-2B-CUSTODY | Source: SEC Rule 206(4)-2]

Citations:
[Policy: ADV-2B-CUSTODY | Source: SEC Rule 206(4)-2]
[Policy: ADV-2B-CUSTODY | Source: SEC Rule 206(4)-2]

Detailed Results: Concentration

Control	Status	Value	Threshold
CONC_ISSUER_001	PASS	8.5	lte 10.0
CONC_SECTOR_001	WARNING	28.0	lte 30.0

Detailed Results: Exposure

Control	Status	Value	Threshold
EXP_GROSS_001	PASS	145.0	lte 200.0
EXP_NET_001	PASS	72.0	lte 100.0

Detailed Results: Liquidity

Control	Status	Value	Threshold
LIQ_T1_001	PASS	18.0	gte 10.0
LIQ_T7_001	WARNING	35.0	gte 40.0
CASH_MIN_001	PASS	3.2	gte 2.0

Audit Information

This section contains audit and traceability information.

Run Id: RUN-2026-01-18-001
Run Code: DAILY-2026-01-18-001
Snapshot Id: SNAP-20260118
Snapshot Timestamp: 2026-01-18T21:13:57.135960+00:00
Config Hash: 60bf7efea4ce0b0b
Executor Service: compliance-demo-v1.0
Executor Version: 1.0.0
Run Start: 2026-01-18T16:13:57.156468
Run End: 2026-01-18T16:13:57.156471
Total Evidence Ids: 10