

1.1 COMPLIANCE CALENDAR

Updated on: «Insert Date»

No.	Description	Type	Interval	Category	Person Responsible	Instructions
Authorised Representatives [OPTIONAL: Delete this section if you have no Authorised Representatives]						
1.	Authorised Representative (AR) Appointment	Event		Compulsory		<ul style="list-style-type: none"> • Undertake your pre-appointment checks, such as: <ul style="list-style-type: none"> ○ Has an AR number already been issued by ASIC; ○ Criminal history check; ○ Bankruptcy check; ○ Review resume; ○ Sight and verify 2 business references; ○ Verify qualifications and CPD Plan (including financial adviser education standards CPD requirements); and ○ Check ASIC Banned Persons Register and Financial Adviser Register. • If the AR is already an AR of another licensee, follow any necessary processes for cross-endorsement. • If the AR is a financial adviser, follow the reference checking protocols outlined below in item 33 under the Organisational Capacity heading. • Have the AR execute an Authorised Representative Agreement. • Issue a Notice of Authority to the AR (and any employees also to be appointed). • Notify ASIC of AR appointment within <u>30 business days</u> of appointment on ASIC Connect.

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