

<insert company logo>

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.	Appointment of Authorised Representative	Event		Compulsory		<ul style="list-style-type: none">• Undertake the following pre-appointment checks:<ul style="list-style-type: none">○ Has an AR number has already been issued by ASIC;○ Criminal history check;○ Bankruptcy check;○ Review resume;○ Sight and verify 2 business references;○ Verify qualifications and training records (including RG146 qualifications); and○ Check ASIC Banned Persons Register.• If the AR is already an AR of another licensee follow any necessary processes for cross-endorsement.• Have the AR execute an Authorised Representative Agreement.• Issue a Notice of Authority to the AR.• Notify ASIC of AR appointment within 15 business days of appointment using ASIC form FS30 (if required).
2.	Check compliance with Authorised Representative appointment, variation and revocation procedures	Task	Quarterly	Compulsory		Check that procedures for appointing, varying, sub-authorising and revoking Authorised Representatives have been complied with, including notifications to ASIC.

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