

<insert company logo>

## COMPLIANCE CALENDAR

Updated on: <insert date>

No.	Description	Type	Interval	Category	Person Responsible	Instructions
<b>Authorised Representatives [OPTIONAL: Delete this section if you have no Authorised Representatives]</b>						
1.	Appointment of authorised representative	Event		Compulsory		<p>Undertake the following pre-appointment checks:</p> <ul style="list-style-type: none"><li>• Has an 'AR' number already been issued by ASIC;</li><li>• Criminal history check;</li><li>• Bankruptcy check;</li><li>• Review resume;</li><li>• Sight and verify 2 business references;</li></ul> <p>Verify qualifications and training records (including RG146 qualifications); and</p> <p>Check ASIC Banned Persons Register.</p> <ul style="list-style-type: none"><li>• If the authorised representative is already an authorised representative of another licensee follow any necessary processes for cross-endorsement.</li><li>• Have the authorised representative execute an Authorised Representative Agreement.</li><li>• Issue a Notice of Authority to the authorised representative (and any employees also to be appointed, unless you have granted authority to sub-authorise to the corporate authorised representative).</li></ul>

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