

Licensee Name

Compliance Policy

Table of Contents

1.	Purpose of Policy	1
2.	Scope of Policy	1
3.	Responsibilities	1
	3.1. Board / Senior Management	1
	3.2. Compliance Manager	1
	3.3. Compliance Committee.....	2
	3.4. Employees	2
4.	Resources and Support	2
5.	Measures and Controls	3
	5.1. Obligations Register.....	3
	5.2. Key Compliance Schedule.....	3
6.	Incident and Breach Management	3
	6.1. Incident Identification	4
	6.2. Incident Assessment.....	4
	6.3. Reportable Situations.....	4
	6.4. Reporting to ASIC	7
	6.5. Non-Reportable Breaches.....	8
	6.6. Consequence Management.....	8
	6.7. Client Review and Remediation.....	9
7.	Performance Evaluation	9
	7.1. Monitoring and Supervision.....	9
	7.2. Data Management and Reporting	10
8.	Record Keeping	10
9.	Review and Improvement	11
	9.1. Resources	11
10.	Version Control	11