

Obligations Register

Section	Obligation	Reference	Core Obligation "Deemed Significant" <i>**reporting exemption may apply, "otherwise significant" test to be considered in all cases</i>	Measures in Place - few example entries, customise as relevant	Monitoring Arrangements - few example entries, customise as relevant	Frequency	Responsibility
Organisational Competence	Maintain organisational competence to provide financial services (knowledge, skills, experience, fit & proper)	CA 912A(1)(e) CA 913BA/BB RG 105	Yes				
Organisational Competence	Key persons (changes to be notified to ASIC within 5 business days)	Licence Condition 2	Yes				
Organisational Competence	Directors must have a Director Identification Number	CA 1272C	No				
Organisational Competence	Ongoing monitoring	RG 104 & 105	No				
Conflicts of Interest	Manage conflicts of interest	CA 912A(1)(aa)	Yes				
Conflicts of Interest	Record of Soft Dollar Benefits / Alternative Remuneration	CR 7.7A.13	No				
Conflicts of Interest	Ongoing monitoring	RG 181	No				

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COMPLIANCE MANAGEMENT