

HN Documents

Current Suite of Documents

Current as at 1 May 2020



TYPE	DOCUMENT NAME	PRICE	VERSION	APPROVED
Compliance		N/A		
Compliance Diary & Charter		\$ 250		
Tool	Compliance diary			01-Jan-18
Tool	Committee charter			01-Jan-18
Compliance Checklists		\$ 250		
Tool	Compliance Checklist - Q1 2020		1	29-Jan-20
Tool	Compliance Checklist - Q2 2020		1	23-Apr-20
Running an AFSL		\$ 2,500		
Compliance Arrangements		\$ 250		
Tool	Compliance diary			01-Jan-18
Tool	Committee charter			01-Jan-18
Adequate Resources		\$ 950		
Policy	Human Resources Policy		1	01-Jan-20
Policy	Financial resources, records and Compensation Policy		1	01-Jan-20
Policy	IT Resources Policy		1	01-Jan-20
Tool	Human Resources Organisational Chart Template		1	01-Jan-20
Tool	PI Insurance Checklist		1	01-Jan-20
Appointments		\$ 950		
Policy	Appointing a Responsible Manager or Key Person Policy		1	01-Jan-18
Policy	Appointing Representatives Policy		1	01-Jan-18
Register	Representative Register		1	01-Jan-18
Tool	Appointing a Representative Checklist		1	13-Dec-19
Tool	Appointing a Responsible Manager Checklist		1	01-Jan-18
Tool	Appointment by Authoriser Form		1	01-Jan-18
Tool	Authorisation - Authoriser Form		1	01-Jan-18
Tool	Authorised Representative Form		1	01-Jan-18
Tool	Employee of a Licensee Form		1	01-Jan-18
Complaints		\$ 295		
Policy	Dispute Resolution Policy		1	26-Jun-19
Register	Complaints Register		1	26-Jun-19
Conflicts of Interest		\$ 450		
Policy	Conflicts of Interest Policy		1	17-Jun-19
Register	Soft Dollar Register		1	10-Jun-19
Register	Conflicts of Interest Register		1	10-Jun-19
Handling Client Money		\$ 450		
Policy	Handling Client Money Policy		1	01-Jan-18
Tool	AFSL - Annual Declaration Template		1	01-Jan-18
Tool	AFSL - Monthly Declaration Template		1	01-Jan-18
Tool	Annual Auditor's Report Template		1	01-Jan-18
Tool	Reconciliation Discrepancy Reporting Template		1	01-Jan-18
Monitoring & Supervision		\$ 450		
Policy	Monitoring & Supervision Policy		1	01-Apr-20
Policy	Client Review & Remediation Policy		1	01-Jan-18
Register	Monitoring & supervision Register		1	01-Jan-18
Tool	Client Remediation - Initial Letter Template		1	01-Jan-18
Tool	Client Remediation - Final Letter Template		1	01-Jan-18
Tool	Client Remediation - Settlement Deed Template		1	01-Jan-18
Tool	Client Review and Remediation Plan Template		1	01-Jan-18
Tool	Monitoring & supervision Checklist		1	01-Jan-18
Tool	SOA Review Checklist		1	01-Jan-18
Outsourcing		\$ 295		
Policy	Outsourcing Policy		2	28-Apr-20
Tool	Engagement Checklist for Outsourced Providers		2	28-Apr-20
Tool	Letter to Existing Service Provider Template		2	28-Apr-20
Tool	List of Existing Service Providers Template		2	28-Apr-20
Tool	Service Provider Review Checklist		2	28-Apr-20
Promotional Material		\$ 295		
Policy	Promotional Material Policy		1	21-Apr-20
Tool	Promotional Material Checklist		1	21-Apr-20
Reporting Obligations		\$ 295		
Policy	Breaches Reporting Policy		1	01-Jan-18
Register	Breaches and Incidents Register		2	01-Feb-18
Guide	Breach Register Guide		1	01-Feb-18
Guide	Lodgement Requirements for AFS Licensees Guide		2	27-Apr-20
Risk Management		\$ 450		
Policy	Risk Management Policy		1	27-Apr-20
Policy	Business Continuity Plan		1	01-May-20
Register	Risk Register		1	27-Apr-20
Tool	Business Continuity Plan Template		1	01-May-20
Training		\$ 450		
Policy	Training Policy		2	27-Apr-20
Register	CPD Plan and Register - Excel		5	14-Sep-19

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Register	CPD Plan and Register - Word		1	14-Sep-19
Tool	CPD Policy Template		1	01-Jun-19
Providing Advice - Key Obligations & the Advice Process		\$ 2,500		
Advice fees		\$ 295		
Policy	Client Advice Fees Policy		2	03-Feb-20
Tool	Client Engagement Letter Template		2	03-Feb-20
Tool	Pricing Policy Template		1	05-Jul-19
Tool	Client Advice Fee Calculation Spreadsheet		1	23-May-19
Aged Care		\$ 295		
Policy	Aged Care Policy		2	15-Mar-20
Disclosure Documents		\$ 950		
Tool	Fact Find Template		2	29-Jan-20
Tool	FSG Template		2	06-Feb-20
Tool	First Interview Letter Template		1	27-May-19
Tool	ROA Template		2	29-Jan-20
Tool	Sample disclaimers & warnings		2	02-Apr-20
FASEA Code of Ethics		\$ 450		
Policy	FASEA Code of Ethics Policy		1	12-Feb-20
Gearing & Margin lending		\$ 450		
Policy	Providing Gearing Advice Policy		1	29-Nov-19
Tool	Margin Lending Advice File Note Template		1	19-May-19
Key Obligations, including BID		\$ 950		
Policy	Advice & Disclosure Document Policy		1	27-May-19
Policy	Best Interests Obligations Policy		2	14-Feb-20
Policy	Data Collection Policy		1	07-Jun-19
Policy	Giving Financial Product Advice Policy		1	07-Jun-19
Policy	Vulnerable Client Policy		1	22-Jan-20
Policy	Wholesale Client Policy		2	30-Jan-20
Guide	No advice --v general advice --v- personal advice Guide		1	03-Jun-19
Guide	Advice Implementation Flowchart		1	26-Jun-19
MDAs		\$ 450		
Policy	MDA Advice Policy		2	02-Oct-19
Register	MDA Service Client Register		1	29-May-19
Tool	MDA Transaction File Note Template		1	29-May-19
Insurance Advice		\$ 450		
Policy	Personal Risk Insurance Advice Policy		1	11-Feb-20
Tool	Insurance Replacement Checklist		1	14-Jun-19
Investment Product Advice		\$ 450		
Policy	Investment Product Policy		1	14-Feb-20
Tool	Investment Replacement Checklist		2	15-Mar-20
Tool	Record of Value Price Template		2	15-Mar-20
Ongoing advice, including FDS		\$ 450		
Policy	Ongoing Fee Arrangements Policy		1	31-Oct-19
Tool	Death termination Template		1	25-Oct-19
Tool	Breach Termination Template		1	25-Oct-19
Tool	FDS Template		2	25-Oct-19
Tool	Ongoing Fee Arrangement Template		1	25-Oct-19
Tool	Party Termination Template		1	25-Oct-19
Tool	Renewal Notice Termination Template		1	25-Oct-19
Tool	Renewal Notice Template		1	25-Oct-19
Overseas clients		\$ 450		
Policy	Overseas Client Policy		1	05-Jun-19
Tool	Overseas Client Policy Exception Form		1	05-Jun-19
Tool	Permanent Resident Letter Template		1	05-Jun-19
Guide	Overseas Client Policy Matrix		1	05-Jun-19
Guide	Overseas jurisdiction - China		1	05-Jun-19
Guide	Overseas jurisdiction - Hong Kong		1	05-Jun-19
Guide	Overseas jurisdiction - Japan		1	05-Jun-19
Guide	Overseas jurisdiction - New Zealand		1	05-Jun-19
Guide	Overseas jurisdiction - Singapore		1	05-Jun-19
Guide	Overseas jurisdiction - South Africa		1	05-Jun-19
Guide	Overseas jurisdiction - Taiwan		1	05-Jun-19
Guide	Overseas jurisdiction - UAE		1	05-Jun-19
Guide	Overseas jurisdiction - UK		1	05-Jun-19
Guide	Overseas jurisdiction - USA		1	05-Jun-19
Guide	Summary of other Jurisdictions Table		1	05-Jun-19
POA & Executors		\$ 295		
Policy	Deceased Estates Policy		1	23-Aug-19
Tool	Power of Attorney (POA) - Letter to solicitor		1	23-Aug-19
Super & SMSF Advice		\$ 450		
Policy	SMSF Advice Policy		2	14-Feb-20
Policy	Contributions Advice Policy		2	14-Feb-20
Tool	Client Fact Sheet - Contributing to Super - Your options		1	27-May-19
Tool	Client Fact Sheet - Retirement Income - Your Options		1	27-May-19
Tool	SMSF Advice Work Paper		1	02-Oct-19
Tool	SMSF - Investment Strategy Template		1	07-Jun-19
Tool	Superannuation Replacement Checklist		1	19-May-19
Misc tools		\$ 450		
Tool	Authority and Indemnity form		1	29-May-19

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Tool	Confirmation of Implementation Letter		1	29-May-19
Tool	Controller Declaration Template		1	14-Sep-19
Tool	Downstream Credit Referral Letter Template		1	29-May-19
Tool	Electronic Disclosure Letter		1	11-Jul-19
Tool	File Note Template		1	06-Jun-19
Tool	Interpreter Attestation Template		1	14-Jun-19
Tool	No Advice Letter (for advisers) Template		1	14-Feb-20
Tool	Non Credit Referral Letter Template		1	31-May-19
Tool	Online Calculators Checklist		1	20-May-19
Tool	Professional Investor Declaration Template		1	18-Sep-19
Tool	Policy Exception Form		1	23-May-19
Tool	Scoping Advice and Services (for business clients) Template		2	14-Feb-20
Tool	Stamping Fees Tool Kit		1	06-Jun-19
Tool	Suspicious Matter Reporting Form		1	23-May-19
Tool	TFN Client Consent Form		1	11-Jul-19
Tool	Upstream Credit Referral Letter Template		1	29-May-19
Legal Agreement	Non-Credit Referral Agreement Template		1	31-May-19
Credit Compliance manual		\$ 2,500		
Policy	ACL Compliance Manual		2	01-Mar-20
Privacy		\$ 950		
Policy	Data Breaches Response Policy		1	25-Mar-19
Policy	Privacy & Information Management Policy		1	07-Jun-19
Register	Data Breaches Register			
Tool	Privacy Policy Template		2	03-Jun-19
Tool	Privacy Refusal Letter - Access requests		1	23-May-19
Accountant resources		\$ 1,500		
Accountants with a Limited Licence		\$ 950		
Tool	Accountant Fact Find		4	01-Nov-18
Tool	Client Fact Find		1	01-Nov-18
Tool	Communications Kit for Limited Licensees		1	01-Feb-17
Tool	The HN Family Case Study		1	01-Jul-17
Tool	Guide - Accountants providing advice in a business		1	01-Dec-16
Tool	Fast track pensions advice - Support Tools		1	01-Aug-18
Tool	Fast track contributions advice - Support Tools		1	01-May-18
Tool	SOA Template - Fast Track Contributions Advice		2	01-May-18
Tool	SOA Template - Fast Track for Pensions Advice		2	01-Aug-18
Tool	SOA Template - For Accountants with a Limited Licence		1	01-Feb-17
Unlicensed Accountants		\$ 950		
Tool	Unlicensed letter pack - Execution only (SMSF Set up)		4	01-Oct-18
Tool	Unlicensed letter pack - Execution only (SMSF wind up)		4	01-Oct-18
Tool	Unlicensed letter pack - Execution only (Pension commencement)		4	03-Oct-18
Tool	Unlicensed letter pack - Execution only (Annual pension amount)		4	04-Oct-18
Tool	Unlicensed letter pack - Execution only (lump sum withdrawal)		4	05-Oct-18
Tool	Unlicensed letter pack - Execution only (Death benefit nomination)		4	06-Oct-18
Tool	Unlicensed letter pack - Execution only (SMSF Investment strategy)		5	07-Oct-18
Tool	Unlicensed letter pack - tax advice (End of year tax planning)		4	08-Oct-18
Tool	Unlicensed letter pack - tax advice (Re-contributions strategy)		4	09-Oct-18
Tool	Unlicensed letter pack - tax advice (tax advice on specific products)		4	10-Oct-18
Tool	Unlicensed letter pack - Engagement letter for SMSF accounting & compliance		4	11-Oct-18
Tool	Unlicensed letter pack - Facts & information (insurance)		4	12-Oct-18
AML				
Coming soon. Currently only customised AML documents available. Enquire at info@hnlaw.com.au				
Other				
Whistleblower		\$ 950		
Policy	Whistleblower Policy (only applicable to large pty ltd and ltd companies)		1	06-Apr-20
Electronic Signatures		\$ 450		
Policy	Electronic Signatures Policy		1	01-May-20
Authorised Representative Agreement		\$ 450		
Legal Agreement	Corporate Authorised Representative Agreement		1	13-Dec-19
Legal Agreement	Sub-Authorised Representative Agreement		1	13-Dec-19
Responsible Manager Agreement		\$ 450		
Legal Agreement	Responsible Manager Agreement		1	13-Dec-19