

Current Suite of Documents

Ast at 17 February 2020



TYPE	DOCUMENT NAME	PRICE	+ GST	TOTAL
Compliance Diary & Checklists		N/A		
Tool	Compliance diary			
Tool	Committee charter			
Tool	Compliance Checklist - Q1 2020			
Running an AFSL				
HN Licensee Compliance Manual		\$ 2,150	\$ 215	\$ 2,365
	Licensee Compliance Policies - Combined			
Adequate Resources		\$ 950	\$ 95	\$ 1,045
Policy	Human Resources Policy			
Policy	Financial resources, records etc			
Policy	IT Resources			
Tool	PI Insurance checklist			
Tool	Human Resources Organisational Chart			
Appointments		\$ 950	\$ 95	\$ 1,045
Policy	Appointing a Responsible Manager or Key Person			
Policy	Appointing Representatives			
Tool	Appointing a Responsible Manager Checklist			
Tool	Appointing a Representative Checklist			
Tool	Representative Register			
Tool	Employee of a Licensee Form			
Tool	Authorised Representative Form			
Tool	Appointment by Authoriser Form			
Tool	Authorisation - Authoriser Form			
Legal Agreement	Corporate Authorised Representative Agreement	\$ 450	\$ 45	\$ 495
Legal Agreement	Sub-Authorised Representative Agreement			
Legal Agreement	Responsible Manager Agreement	\$ 450	\$ 45	\$ 495
Conflicts of Interest		\$ 450	\$ 45	\$ 495
1 Policy	Conflicts of Interest			
2 Tool	Soft dollar register			
3 Tool	Conflicts of interest register			
4 Other useful Info	Separation of Business Adviser Guide			
5 Other useful Info	Examples of Conflicted Remuneration			
6 Other useful Info	Soft Dollar Benefit Guide			
7 Other useful Info	Employee Remuneration Guide			
Complaints		\$ 295	\$ 30	\$ 325
Policy	Complaints Policy			
Tool	Complaints Register			
Handling Client Money		\$ 450	\$ 45	\$ 495
Policy	Handling client money			
Tool	Monthly declaration			
Tool	Reconciliation discrepancy reporting			
Tool	Annual declaration			
Monitoring & Supervision		\$ 450	\$ 45	\$ 495
Policy	Monitoring & supervision			
Policy	Review & Remediation			
Support Policy	Client review & Remediation			
Support Policy	Client File Management Policy			
Tool	Monitoring & supervision checklist			
Tool	Monitoring & supervision register			
Tool	Checklist - SOA Reviews			
Tool	Determining scope of review and remediation program			
Tool	Checklist - Review & remediation program			
Tool	Checklist - Compliance folder requirements			
Tool	Checklist - Client files			
Outsourcing		\$ 295	\$ 30	\$ 325
Support Policy	Outsourcing			
Tool	Engagement checklist			
Tool	Example letter to existing service provider			
Tool	Checklist - Reviewing a service provider			
Promotional Material		\$ 295	\$ 30	\$ 325
Policy	Promotional material			
Support Policy	Identification & Promotional Material Policy			
Tool	Promotional material checklist			
Tool	Client communications kit			
Tool	Website terms & conditions			
Other useful Info	Minimising the Risks of Social Media			
Referrals		\$ 295	\$ 30	\$ 325
Policy	Referral Arrangements Policy			
Reporting Obligations		\$ 295	\$ 30	\$ 325
Policy	Reporting obligations, including breach reporting			
Tool	Incident register			
Tool	Breach register			
Tool	Reporting table			
Tool	Website terms & conditions			
Risk Management		\$ 450	\$ 45	\$ 495
Policy	Risk Management			
Tool	Risk register			
Tool	Risk action plan			
Training		\$ 450	\$ 45	\$ 495
Policy	Training			
Tool	CPD Policy Template			

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Tool	CPD Plan and Register Template - Excel			
Tool	CPD Plan and Register Template - Word			
Providing Advice				
HN Adviser Manual		\$ 2,150	\$ 215	\$ 2,365
	Advice Compliance Policies - Combined			
Advice fees		\$ 295	\$ 30	\$ 325
Policy	Client Advice Fees Policy			
Tool	Client Engagement Letter			
Tool	Client Advice Fee spreadsheet			
Tool	Pricing Policy Template			
Credit activities (non ACL)		\$ 295	\$ 30	\$ 325
Tool	Non Credit Referral Letter			
Tool	Non-Credit Referral Agreement Template			
Tool	Downstream Credit Referral Letter			
Tool	Upstream Credit Referral Letter			
Disclosure Documents		\$ 950	\$ 95	\$ 1,045
Tool	Fact Find (Comprehensive)			
Tool	FSG - Combined AR and representatives			
Tool	Letter - First Interview			
Tool	ROA template			
Tool	Disclaimers & warnings			
Ethics & Culture		\$ 450	\$ 45	\$ 495
Policy	FASEA Code of Ethics Policy			
Key Obligations, including BID		\$ 950	\$ 95	\$ 1,045
Policy	Advice & Disclosure Document Policy			
Policy	Best Interest Duty Policy			
Policy	Data Collection Policy			
Policy	General Advice and Personal Advice Policy			
Policy	Giving financial product advice - Adviser Policy			
Policy	Wholesale Client Policy			
Tool	Advice Documentation Scenarios			
Tool	Advice Implementation Flowchart			
Tool	Checklist - No advice --v general advice --v personal advice			
Other useful Info	Advising your client in your capacity as an accountant			
Other useful Info	Subject Matter and Scope Guidance			
MDAs		\$ 450	\$ 45	\$ 495
Policy	MDA Advice Policy			
Tool	MDA Service Client Register			
Tool	MDA Portfolio Review File Note			
Tool	MDA Transaction File Note			
Other useful Info	MDA Asset Class Discretion Examples			
Insurance Advice		\$ 295	\$ 30	\$ 325
Policy	Personal Risk Insurance Advice Policy			
Tool	Insurance Replacement Checklist			
Investment Product Advice		\$ 450	\$ 45	\$ 495
Policy	Investment Product Policy			
Tool	Investment Replacement Checklist			
Tool	Record of Value Price			
Ongoing advice, including FDS		\$ 450	\$ 45	\$ 495
Policy	Ongoing Fee Arrangements Policy			
Tool	Death termination Template			
Tool	Renewal Notice Termination Template			
Tool	Breach Termination Template			
Tool	Party Termination Template			
Tool	FDS Template			
Tool	Renewal Notice Template			
Tool	Ongoing Fee Arrangement Template			
Overseas clients		\$ 450	\$ 45	\$ 495
Policy	Overseas Client Policy			
Tool	US Client Exemption Request			
Tool	Permanent Resident Letter			
Tool	Overseas Client Policy Exception Form			
Other useful Info	Overseas jurisdiction - Hong Kong			
Other useful Info	Overseas jurisdiction - Japan			
Other useful Info	Overseas jurisdiction - New Zealand			
Other useful Info	Overseas jurisdiction - Singapore			
Other useful Info	Overseas jurisdiction - South Africa			
Other useful Info	Overseas jurisdiction - Taiwan			
Other useful Info	Overseas jurisdiction - UAE			
Other useful Info	Overseas jurisdiction - UK			
Other useful Info	Overseas jurisdiction - USA			
Other useful Info	Overseas jurisdiction - China			
Other useful Info	Summary of other Jurisdictions Table			
Other useful Info	Overseas Client Policy Matrix			
POA & Executors		\$ 295	\$ 30	\$ 325
Policy	Deceased Estates Policy			
Tool	Power of Attorney (POA) - Letter to solicitor			
Strategic Advice		\$ 450	\$ 45	\$ 495
Policy	Strategic Advice Policy			
Policy	Gearing Policy			
Policy	Aged Care Policy			
Policy	Vulnerable Client Policy			
Tool	Margin Lending Advice File Note			
Super & SMSF Advice		\$ 450	\$ 45	\$ 495
Policy	SMSF Advice Policy			
Policy	Contributions Advice Policy			
Tool	SMSF Advice Work Paper			
Tool	Superannuation Replacement Checklist			
Tool	Client Fact Sheet - Contributing to Super - Your options			
Tool	Client Fact Sheet - Retirement Income - Your Options			
Tool	SMSF - Investment strategy template			

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Misc tools		N/A		
Tool	Professional Investor Declaration			
Tool	Policy Exception Form			
Tool	Authority and Indemnity form			
Tool	Manual SMR Input Form			
Tool	TFN Client Consent Form			
Tool	Controller Declaration			
Tool	Electronic Disclosure Letter			
Tool	Interpreter Attestation			
Tool	File Note Template			
Tool	Checklist - Online Calculators			
Tool	Stamping Fees Tool Kit			
Tool	Letter - Confirmation of Implementation			
Tool	Scoping advice and services (for business clients)			
Tool	No advice letter for advisers			
Credit Compliance manual		\$ 2,150	\$ 215	\$ 2,365
Policy	ACL Compliance Manual			
Privacy		\$ 950	\$ 95	\$ 1,045
Policy	Data breaches Policy			
Policy	Privacy policy			
Support Policy	Privacy & Information management - Adviser Policy			
Tool	Privacy Refusal Letter - Access requests			
Unlicensed Accountants		\$ 950	\$ 95	\$ 1,045
Tool	Unlicensed letter pack - Execution only (SMSF Set up)			
Tool	Unlicensed letter pack - Execution only (SMSF wind up)			
Tool	Unlicensed letter pack - Execution only (Pension commencement)			
Tool	Unlicensed letter pack - Execution only (Annual pension amount)			
Tool	Unlicensed letter pack - Execution only (lump sum withdrawal)			
Tool	Unlicensed letter pack - Execution only (Death benefit nomination)			
Tool	Unlicensed letter pack - Execution only (SMSF Investment strategy)			
Tool	Unlicensed letter pack - tax advice (End of year tax planning)			
Tool	Unlicensed letter pack - tax advice (Re-contributions strategy)			
Tool	Unlicensed letter pack - tax advice (tax advice on specific products)			
Tool	Unlicensed letter pack - Engagement letter for SMSF accounting & compliance			
Tool	Unlicensed letter pack - Facts & information (insurance)			
AML		Available as part of customised service		
Policy	AML/CTF Part A			
Policy	AML/CTF Part B			
Policy	AML/CTF ID Forms			
Support Policy	AML Policy for Advisers			
Other useful Info	Examples of Suspicious Behaviour			
Other useful Info	Mindmap - AML			
Misc				
Support Policy	Cyber Resilience Policy	\$ 450		
Support Policy	Whistleblower Policy (only applicable to large pty ltd and ltd compar	\$ 950		