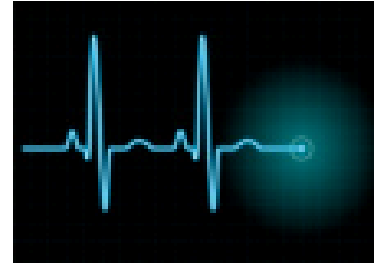


Name: .....  
 Position: .....  
 Company: .....  
 Location: .....



*Let's think about how you manage compliance.....*

<i>In our business we have .....</i>	Circle as applicable		Optional Info <i>Tell us if you want to!</i>	
<b>A documented statement of our commitment to compliance</b> , signed by our most senior manager and displayed prominently	Yes	No	Why not?	
<b>Up to date policies and procedures</b> for all aspects of our business	All	Some	None	Last updated on:
<b>Everyone follows</b> our policies and procedures - with no exceptions	Yes	No	Why not?	
<b>A system for managing</b> failures to follow our procedures and/or breaches of the AFS requirements	Yes	No	Why not?	
Access to <b>information and support</b> on our legal and compliance obligations	Yes	No	Supplier(s):	
<b>A Compliance Calendar</b> listing all our compliance tasks, who is responsible and how often we do them	Yes	No	Last updated on:	
<b>A dedicated Compliance Manager</b>	Yes	No	Last updated on:	
<b>These Registers:</b>				
• No Contact / No Call Register	Yes	No		
• Training Register	Yes	No		
• Conflicts Register	Yes	No		
• Complaints Register	Yes	No		
• Monitoring & Supervision Register	Yes	No		
• Breach Register	Yes	No		
Had an <b>External Compliance Audit</b>	Yes	No	Last Audit: By:	
<b>Reviewed our Compliance Management System</b> in the last 2 years to see if it could be improved	Yes	No	Date:	



**I rate our Compliance Management as follows:**

- We're perfect - no need for improvement.
- We could use some assistance in a few areas .....
- Send help immediately!