

COMPLIANCE MEETING OF [AFSL] ON [DATE] @ [LOCATION]			
In attendance: BW, [others]			
Meeting commenced at: [time]			
Item	Agenda Topic	Commentary	Action arising
1	Minutes of last meeting accepted		
1.1	Matters arising from those minutes		
2	Internal issues		
2.1	Recent changes to business model?		
2.2	Financial tests being met (RG166)?		
2.3	HR issues arising?		
2.4	Training plans and CPD up to date?		
2.5	IT and admin systems status?		
2.6	Advice QA systems status (esp APL, SOAs etc)?		
2.7	Registers up to date? <ul style="list-style-type: none"> • Training • Breach • Complaints • Risk (VRM) 		
2.8	Any conflicts to declare/manage?		
3	External issues		
3.1	ASIC		
3.2	Austrac		
3.3	TASA		
3.4	Other		
4	BREACHES – any identified?		
5	BREACHES – action required?		
6	OTHER BUSINESS RISKS IDENTIFIED?		
7	General Business		
8	Next Compliance meeting		
9	Meeting closed at [time]		