## **ATCHISON** CONSULTANTS

## **AFSL Compliance Manual**

## January 2023

ABN: 58 097 703 047 AFSL Number: 230846

P: +61 3 9642 3835 F: +61 3 9642 8886

TAG ASSET CONSULTING GROUP PTY LTD ACN 097 703 047

AFS License No 230846

## TAB INDEX - POLICY

		IAB
MANUAL		
	Version Control	1
	Compliance Procedures Summary	2
	Reporting Obligations Checklist	3
	AFSL – As Issued	4
	FS03 – As Lodged	5
	AFSL Business Description Statement	6
	Organisational & Reporting Structure	7
COMPLIANC	E POLICIES	
	CP1 – Responsible Managers	8
	CP2 – Breach Reporting	9
	CP3 - Outsourcing	10
	CP4 – Conflict of Interests	11
	CP4.3 – Conflict of Interest Disclosure – Freehold Investment	11
	CP5 – Authorised Representatives	12
	CP6 – Financial Resources	13
	CP7 – Investment Manager Research Policy	14
	CP7 – Human Resources	15
	CP8 – Information Technology Resources	16
	CP9 – Risk Management System	17
	CP10 -COVID-19 Safe Plan	18
AFSL FINANC	CIALS	
	Quarterly AFSL Report	18