

Are you meeting these standards?

1	Consider the impact of ARs on your business model and ability to meet threshold conditions.	<input type="checkbox"/>
2	Put in place an appropriate risk management framework to identify and manage the risks ARs present to your business.	<input type="checkbox"/>
3	Assess and monitor the solvency and suitability of your ARs. This must include the entity and the controllers, directors and managers.	<input type="checkbox"/>
4	Compliant contractual arrangements with ARs in place which clearly set out the scope of activities permitted and provide a suitable basis for effective oversight.	<input type="checkbox"/>
5	Consider whether ARs are fit and proper to deal with customers.	<input type="checkbox"/>
6	Adequate controls over ARs' regulated activities for which you have responsibility.	<input type="checkbox"/>
7	Ensure that customers dealing with the ARs are afforded the same level of protection as if they had dealt with you.	<input type="checkbox"/>
8	Controls and oversight to encompass all elements of the ARs' activities, including ensuring that the ARs' sales processes are compliant.	<input type="checkbox"/>
9	Adequate resources in place to frequently monitor and enforce compliance.	<input type="checkbox"/>
10	Able to demonstrate that you are consistently meeting regulatory requirements so that customers who receive products and services delivered by the ARs are: being treated fairly; buying products appropriate to their needs and requirements; and receiving fair outcomes.	<input type="checkbox"/>