**Are you meeting these Standards?**

1. **Consider the impact of ARs on your business model and ability to meet threshold conditions Y/N**
2. **Put in place an appropriate risk management framework to identify and**

**Mange the risks ARs present to your business Y/N**

1. **Assess and monitor the solvency and suitability of your ARs. This must include**

**The entity and the controllers, directors and managers Y/N**

1. **Compliant contractual arrangements with ARs in place which clearly set out**

**the scope of activities permitted and provide a suitable basis for effective**

**oversight Y/N**

1. **Consider whether ARs are fit and proper to deal with customers Y/N**
2. **Adequate controls over ARs’ regulated activities for which you have# responsibility Y/N**
3. **Ensure that customers dealing with the ARs are afforded the same level of protection as if they had dealt with you. Y/N**
4. **Controls and oversight to encompass all elements of the ARs’ activities, including ensuring that the ARs’ sales processes are compliant Y/N**
5. **Adequate resources in place to frequently monitor and enforce compliance** Y/**N**
6. **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. Y/N**