

- ▶ Compact was established in 1995 by Grant Holley and Tim Nethercote. Compact provides training and compliance services to businesses and government regulators.
- ▶ Compact offers the following services:

Financial Services

- ▶ Independent compliance services to the Australian financial services sector, including:
 - ▶ Australian Financial Services Licence (AFSL) adviser reviews and adviser coaching;
 - ▶ monthly tailored regulatory updates covering legal and regulatory developments directly relevant to Responsible Managers, AFS licensees and their representatives;
 - ▶ assistance with applying for or varying an AFSL;
 - ▶ assistance with applying for an Australian Credit Licence (ACL)
 - ▶ chairing and/or attendance at Compliance Committee meetings;
 - ▶ provision or review of compliance procedures that help your AFS business fulfill its obligations;

Audit Service

- ▶ We provide independent audit services for companies that have been subject to enforceable undertakings with the ACCC or ASIC.

Corporate Training Courses

- ▶ Our training course topics are tailored to the particular training needs of the client and include:
 - ▶ Anti Money Laundering and Counter-Terrorism Financing
 - ▶ Responsible Managers (an initial course and also an advanced course)
 - ▶ Debt recovery and Insolvency
 - ▶ Directors' Duties
 - ▶ Compliance and Best Practice
 - ▶ Contracts and Trade Practices
 - ▶ Financial Services (eg Mock Court training for financial planners)
 - ▶ No Advice training
 - ▶ Getting or varying your AFS Licence
 - ▶ Professionalism in Practice
 - ▶ Privacy
- ▶ Compact has been engaged to provide training services in both Australia and New Zealand to organisations including: Government regulators, The Commonwealth Bank/Colonial, Ernst & Young, CPA Australia, ANZ Bank, the National Australia Bank, Australian Unity, Aviva, ING Australia, Snowball, Fuji Xerox Australia Pty Ltd, QBE Mercantile Mutual, Pacifica Group Limited, Retire Invest, Scania Australia, The Stanley Works, Westpac, Thales, Black & Decker Australia, Meritum Financial Group, and Zurich Financial Services.

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