

- ▶ Compact-Compliance & Corporate Training provides training and compliance services to businesses and government regulators.
- ▶ Compact offers the following services:

Financial Services

- ▶ Chairing and attendance at Compliance Committee meetings
- ▶ 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 or varying an Australian Credit Licence (ACL)

Independent Compliance Review

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

Corporate Training Courses

- ▶ Our training course topics are tailored to the particular training needs of the client and include:
 - ▶ Responsible Managers (an initial course and also an advanced course) for AFSL holders
 - ▶ Responsible Managers for ACL holders
 - ▶ Directors' and Officers' Duties
 - ▶ Anti-Money Laundering and Counter-Terrorism Financing
 - ▶ Debt recovery and Insolvency
 - ▶ Compliance and Best Practice
 - ▶ Contracts
 - ▶ Financial Services (eg Mock Court training for financial planners)
 - ▶ No Advice training
 - ▶ Getting or varying your AFS Licence
 - ▶ Trade Practices
 - ▶ 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, NAB, Westpac, Hastings Funds Management, K2 Asset Management, Australian Unity, Aviva, OnePath, Snowball, WHK, DKN, Fuji Xerox Australia Pty Ltd, QBE Mercantile Mutual, Pacifica Group Limited, Retire Invest, Scania Australia, The Stanley Works, Thales, Black & Decker Australia, Meritum Financial Group, IG Markets and Zurich Financial Services.

For further enquiries, please contact us:

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Our Story



Holley Nethercote Commercial & Financial Services Lawyers and Compact-Compliance & Corporate Training (Compact) were founded in 1995 by Grant Holley and Tim Nethercote.

Grant (a barrister at the time) and Tim (a solicitor) often found themselves in the court room with their corporate clients. During that time they said to each other a number of times: "our client could have avoided this situation if it had known how to do the right thing in the first place."

So, the law firm and training business were established to keep clients out of court. That continues to be their core purpose.

We assist corporations, regulators and other financial services institutions.

Now, *Holley Nethercote* is one of Australia's leading financial services and commercial "preventative law" firms. *Compact* is also a leading provider of legal corporate training and compliance services for Australian Financial Services and Australian Credit licensees. [See our expert staff here.](#)

P.T.O.



- ▶ Holley Nethercote Commercial & Financial Services Lawyers is a commercial law firm with a particular focus on the financial services industry. Most of our clients are either Australian Financial Services Licensees (AFSL) or Australian Credit Licensees (ACL).
- ▶ Clients include Responsible Entities, investment managers, financial planning dealer groups, global foreign exchange and derivative issuers, and other corporate entities.

We provide expert and practical commercial law services in the areas of:

- ▶ Financial services law, licensing and related issues
 - ▶ Anti-money laundering and counter-terrorism financing
 - ▶ Debt recovery
 - ▶ Intellectual property
 - ▶ Employment law for employers
 - ▶ Insolvency
 - ▶ Consumer Credit
 - ▶ Contracts
 - ▶ Litigation and commercial dispute resolution
 - ▶ Trade practices
 - ▶ Privacy
 - ▶ Franchising
 - ▶ Copyright
 - ▶ Trade marks
 - ▶ Leases
 - ▶ Other general business legal matters
- ▶ In conjunction with our associated business Compact – Compliance & Corporate Training (www.ccct.com.au), we have helped a vast array of businesses obtain and vary AFSLs and ACLs, including start-up companies, ex-authorised representatives, and multi-national companies entering the Australian market.
 - ▶ We also offer expert advice in matters relating to AFS licence holders, including conducting AFSL compliance reviews and creating or revising financial services legal documentation including Product Disclosure Statements, Financial Services Guides and Statements of Advice.
 - ▶ For more information about Holley Nethercote Commercial Lawyers, please check our website which contains lots of detailed information, blogs and free mind maps – www.hnlaw.com.au.

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Our Team

Click each portrait to see more about that person



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