

Compact – Compliance & Corporate Training - Fact Sheet

Compact was established in 1995 by Grant Holley and Tim Nethercote. *Compact* provides training and compliance services to businesses and government regulators.

With offices in Melbourne and Sydney, *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;
- If legal advice is required, clients are referred to the associated law firm *Holley Nethercote Commercial Lawyers* or may seek legal advice from an alternative law firm. An advantage of using *Compact* for these services is that many our staff are also lawyers of the associated law firm *Holley Nethercote*.

ACCC Audit Service

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

Corporate Training Courses

- Our training course topics 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 Mock Court training for financial planners
- No Advice training
- Getting or varying your AFS License
- Professionalism in Practice
- Privacy

- *Compact* has been engaged to provide training services in both Australia and New Zealand to organisations including: The 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, Telstra Ltd and Pacifica Group Limited.

For **more information** about *Compact-Compliance & Corporate Training* please feel free to contact us:

Head Office (Melbourne)

Phone: (03) 9670 8056

Fax: (03) 9670 5499

Email: compact@compliance-training.com.au

Address: Level 1, 224 Queen St, Melbourne VIC 3000

Postal Address: GPO Box 3045, Melbourne VIC 3001

Sydney Office

Phone: (02) 9233 7782

Fax: (02) 9233 2295

Address: Suite 303, 105 Pitt Street, Sydney NSW 2000

Postal Address: Address all correspondence to the Melbourne postal Address

Website: www.compliance-training.com.au