

## 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:
  - 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;
  - 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
  - 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
- Privacy
- Professionalism in Practice
- Financial services regulatory training

- *Compact* has been engaged to provide training services in both Australia and New Zealand to organisations including: The Commonwealth Bank/Colonial, Ernst & Young, CPA Australia, ANZ Bank, the National Australia Bank, Australian Unity, ASIC, AUSTRAC, ACCC, 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:

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