

## AFSL Compliance & Support

We understand the complexities of navigating compliance obligations. Our compliance portal provides a risk management and compliance solution to Australian Financial Services Licensees.

We provide ongoing and flexible AFSL and regulatory compliance support for compliance with Chapter 7 of the Corporations Act 2001 (Cth) in relation to financial services, the Australian Securities and Investment Commission Act 2001 (Cth) and ASIC regulatory guides and information sheets.

We respond to regulatory change by providing practical guidance and proactively updating the compliance framework, making it easy for you to maintain compliance with your AFSL obligations as they change.

## Online Compliance Portal

**Compliance Meetings** - chaired by our financial services lawyers.

**HelpDesk** - obtain legal advice via the HelpDesk in relation to your AFSL obligations and compliance issues.

**Tasks/Reminders** - a list of tasks and reminders covering legislative and regulatory obligations of AFS Licensees.

**Policies and Procedures** - unlimited access to a suite of policies and procedures for implementation.

**Registers** - that Licensees are required to maintain for ensuring ongoing compliance.

**Templates** - unlimited access to templates required under financial services law and commercial documents.

**Guides and FAQs** - related to financial services law.

**News Stories** - regular news feeds of relevant financial services updates including regulatory changes.

We update our portal documents and framework as the law and market practice evolve.

## Packages

### Premium Package

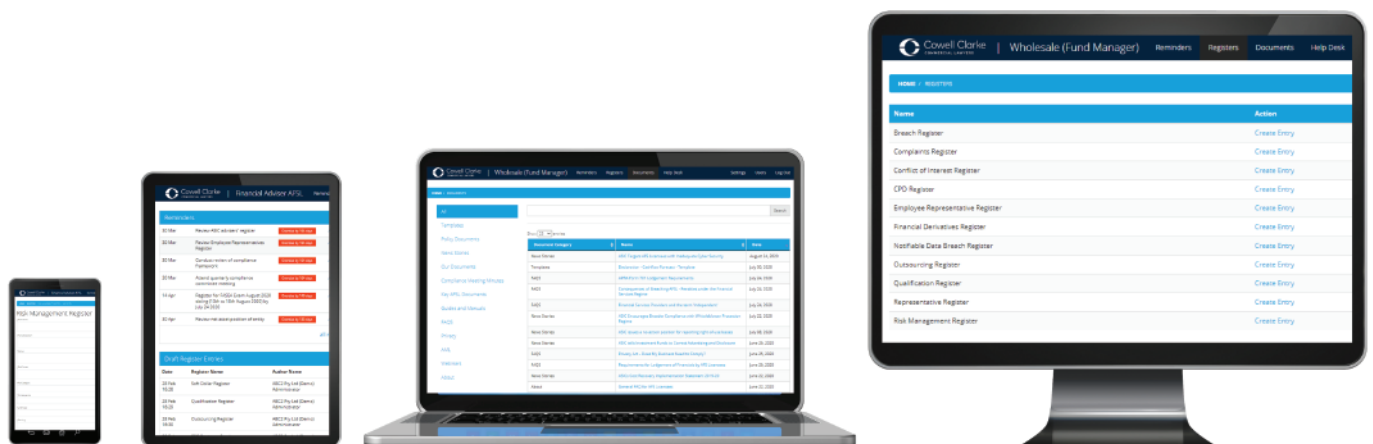
- Onboarding "Health Check"
- Quarterly Compliance Meetings chaired by a lawyer
- Unlimited HelpDesk access
- Unlimited access to documents
- Our guidance on regulatory change
- Proactive updates to the framework
- Portal access

### Standard Package

- Onboarding "Health Check"
- Annual Compliance Meetings chaired by a lawyer
- Unlimited access to documents
- Our guidance on regulatory change
- Proactive updates to the framework
- Portal access

## Additional Services

- AFSL applications and variations
- Client file reviews / audits
- Client complaints and AFCA
- Breach reporting and remediation
- ASIC advice, including investigations and enforcement
- A full suite of legal services, including corporate transactions, taxation, estate planning, property, employment and litigation.
- Privacy
- AML / CTF
- Credit Act
- Margin Lending
- Managed Discretionary Accounts



## Expertise

- Advice on compliant structures and licensing requirements including preparation and review of financial services licence applications and variations
- Compliance and risk frameworks, as well as ongoing risk and compliance training and support
- Financial services regulatory advice for established and mature businesses, FinTech start-ups or new initiatives
- Preparation and review of disclosure documents including product disclosure statements, financial services guides, statements of advice, annual disclosure statements and other disclosure documents
- Superannuation advice, licensing and exemptions
- Applications for relief, modifications or exemptions, including for unusual or innovative structures.



## Our Team



**Richard Beissel**  
Director

D: +61 8 8228 1140  
E: [rbeissel@cowellclarke.com.au](mailto:rbeissel@cowellclarke.com.au)



**Hillary Ray**  
Consultant

D: +61 8 8228 1182  
E: [hray@cowellclarke.com.au](mailto:hray@cowellclarke.com.au)



**Richard Hopkin**  
Associate

D: +61 8 8228 1160  
E: [rhopkin@cowellclarke.com.au](mailto:rhopkin@cowellclarke.com.au)



**Anthony Basa**  
Senior Associate

D: +61 8 8228 1139  
E: [abasa@cowellclarke.com.au](mailto:abasa@cowellclarke.com.au)



**Kayla Costa**  
Lawyer

D: +61 8 8228 1237  
E: [kcosta@cowellclarke.com.au](mailto:kcosta@cowellclarke.com.au)



**Emma Johnson**  
Lawyer

D: +61 8 8228 1191  
E: [ejohnson@cowellclarke.com.au](mailto:ejohnson@cowellclarke.com.au)



**Steven Slimming**  
Lawyer

D: +61 8 8228 1163  
E: [sslimming@cowellclarke.com.au](mailto:sslimming@cowellclarke.com.au)

### ADELAIDE

Level 9, 63 Pirie Street  
Adelaide SA 5000  
T: +61 8 8228 1111

[www.cowellclarke.com.au](http://www.cowellclarke.com.au)

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the Professional Standards Legislation

### SYDNEY

Level 21, 133 Castlereagh Street  
Sydney NSW 2000  
T: +61 2 8089 3199