

**COMPLIANCE CHECKLIST FOR ADVISORS**

**POLICIES AND PROCEDURES MANUALS**

1. AML/ATF Polices and Procedures Manual [ ]
2. Privacy Policies and Breach Procedures Manual [ ]
3. Complaint Handling Policy Manual [ ]

**CLIENT FILE TEMPLATES AND FORMS**

1. Advisor Disclosure [ ]
2. Privacy Consent and CASL Consent [ ]
3. Fact-finding and Needs-Analysis [ ]
4. Reason-Why Letter [ ]
5. Risk Analysis (Client Risk Assessment) [ ]
6. Other Items: Illustrations, Policy Delivery Receipt, Meeting Notes [ ]