

**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