HN HUB

Stockbrokers and Investment Advisers Association

Serving the interests of investors

Member Offer

Your one-stop shop for

cost-effective compliance support

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HOLLEY NETHERCOTE COMPLIANCE

HN Hub is an online portal that helps you stay on top of your regulatory and training needs.

Subscription options include...

Regulatory Updates

From one-off alerts through to our monthly Tailored Regulatory Newsletter (T-REX), let us help you navigate the ever changing regulatory landscape.

Documents & Templates

Don't reinvent the wheel. Our comprehensive document library consists of over 250 policy templates, checklists, tools and guides.

By subscribing, you will always have access to the most up-to-date templates.

Training

Our training has specifically been designed for Responsible Managers and compliance staff.

Training includes:

- an extensive library of on-demand webinars
- regular live webinars on topical issues
- access to industry based forums & updates

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For enquiries, please contact:
info@hnlaw.com.au or **+61 3 9670 8200**

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SIAA - Monthly Subscription
Price Guide

Current as at April 2022

Standard Pricing*	Free Members & Non-members	Customised Access - Make your own Package^ Base**	+ Documents	+ Training	+ AML	+ Credit	Full Access
Up to 5 users (max. of 50 advisers/representatives)	$0	$155 RRP ~~$175~~	+ $295 RRP ~~$340~~	+ $175 RRP ~~$200~~	+ $85 RRP ~~$100~~	+ $50 RRP ~~$60~~	**$575** RRP ~~$640~~
Up to 10 users	$0	$265 RRP ~~$295~~	+ $530 RRP ~~$615~~	+ $350 RRP ~~$375~~	+ $150 RRP ~~$180~~	+ $90 RRP ~~$100~~	**$995** RRP ~~$1195~~

* All prices exclude GST. Price is per licensee. ** All customised packages must include the Base option

What's Included		Free	Base	+ Documents	+ Training	+ AML	+ Credit	Full Access
FAQs								
Quick reference question/answers		Limited	✓					✓
Regulatory Updates								
Alerts		✓	✓					✓
Monthly Tailored Regulatory Newsletter (T-REX)			✓					✓
Documents & Templates								
Fact/Information Sheets		✓	✓	✓				✓
Compliance Diary/Checklists			✓	✓				✓
AFSL Compliance (Running an AFSL)				✓				✓
AFSL Compliance (Providing advice)				✓				✓
Disclosure Documents				✓				✓
Privacy Documents				✓				✓
Accountant Resources				✓				✓
Legal Agreements				✓				✓
AML/CTF Program						✓		✓
Consumer Credit Documents							✓	✓
Training								
On-demand								
Expert Interview Series		✓	✓		✓			✓
Online (live & on-demand)								
Topical Webinars	Monthly				✓			✓
The Accountant Series	Quarterly				✓			✓
Technical Sessions (CFDs, Pmts)	Bi-annually				✓			✓
One-off Webinars	As Required				✓			✓
AML/CTF Training	Annually					✓		✓
Member-only Events								
Wrap Ups	Monthly		✓		✓			✓
Industry Forums	Qtrly/Bi-annual		✓		✓			✓
Events & Training								
Discounts to Live Events		5%	10%	10%	20%	-	-	**20%**

^ No commitment period for Free users. Packages that include Documents have an 18mth commitment period. All other packages have a commitment period of 3mths.

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Regulatory Updates

At the core of the HN Hub offer is our Regulatory Updates for Responsible Managers and Compliance Staff. You will receive two different updates depending on your subscription level.

HN Hub Inclusions...		FREE	Base (only)	Full Access
Alerts	Our alerts will be used to alert subscribers when there is a regulatory change that is a 'really big deal' In most cases, these will be things that will need you to do something. If that is the case, we will let you know.	✓	✓	✓
Monthly Tailored Regulatory Newsletter (T-REX)	To ensure you keep up with the ever shifting regulatory landscape, we produce a monthly Tailored Regulatory Newsletter (T-REX). The newsletter is tailored as it only sends you articles based on your industry preferences. It is written by our team of lawyers and consultants and has been running since 2004. Regulations covered in T-REX: • Financial services regulations • AML/CTF • Consumer Credit Regulations Our articles not only provide an update of the changes, but also additional commentary and tips on how to comply. T-REX is mailed out monthly. As a subscriber, the HN Hub provides you with access to the database of all previously published articles.	x	✓	✓

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Documents & Templates

HN Hub Inclusions...		FREE	Base (only)	+Add-on Documents	Full Access
Fact/Information sheets	Our information sheets cover some of the most common licensing questions, including: • Do I need licensing? • How do I obtain a licence? • Where are the licensing boundaries?	✓	✓	✓	✓
Compliance diary/ checklists	Each quarter, we produce a quarterly compliance checklist, along with a diary of key dates licensees need to be aware of. The compliance checklist can be a useful tool to set your compliance committee agendas by.	x	✓	✓	✓
Our Cornerstone Product AFSL Compliance (Running an AFSL) Manual & Support Tools	**Full access to our template AFSL Licensee Compliance manual** Plus... bonus access to: • A full suite of support materials including registers, letter templates, checklists and reference materials • Access to each policy on a stand-alone basis, making it easier to update one section at a time	x	x	✓	✓
AFSL Compliance (Providing Advice) Related Policies & Support Tools	Includes: • Core policies for all advice businesses (both general and personal) • Core policies for those providing personal advice to retail clients (e.g. Code of Ethics, Best Interests Duty, Ongoing Fee arrangements) • Additional policy templates, depending on the advice and services you provide (e.g. aged care, gearing, insurance)	x	x	✓	✓
Disclosure Documents	Our suite of disclosure documents includes: • FSG template • Client engagement letter • ROA template • SOA template • Standard disclaimers & warning	x	x	✓	✓
Privacy Documents	Privacy policies include: • A privacy policy • Data breaches policy	x	x	✓	✓
Accountant Resources	To support our accounting clients with a Limited Licence, we have a suite of additional resources, including: • Specfic SOA templates • Fact find templates • Unlicensed letter templates	x	x	✓	✓
Legal Agreements	We provide some common legal agreement templates used in financial services. These include: • Authorised Representative Agreements • Responsible Manager Agreements	x	x	✓	✓
AML/CTF Program	Our AML/CTF suite of documents includes: • AML/CTF Program (Parts A & B) • Risk Register • Customer Risk Assessment procedure & KYC tool	x	x	x	✓
Consumer Credit Documents	We have a Credit Compliance manual – a must-have for all credit licensees.	x	x	x	✓

Current as at April 2022

Documents & Templates

Types of Documents & Templates are on offer by HN Hub

Policies

We have customisable policies that cover:
- AFS Licensee obligations
- AC Licensee obligations
- AFSL Adviser obligations

Most policies can be downloaded individually, or together as part of a combined policy manual.

Registers

We provide a range of register templates to meet your key licensing obligations. Registers include:
- Conflicts of Interest
- Breaches and Incidents
- Training
- Complaints
- Risk Management

Legal Agreements

We provide some common legal agreement templates used in financial services.

Tools

To assist in managing your licence obligations, we have an extensive suite of both in-house and client facing checklists, forms and letter templates.

Reference Materials

We have a growing suite of reference guides and materials which we also make available when you subscribe to HN Documents.

What makes our documents different?

All our policies:

Are risk based

Allowing the licensee to determine which "risk-based" obligations they will include in their policies. Those obligations are highlighted in blue, so you can keep or delete them. One key gripe from advisers is that they're told to do things by their licensee that the law doesn't require (like provide a written ROA to a client in a further advice situation).

Are easy to understand

They are written in first person, plain English.

Include an "at a glance" section

Each policy includes a 1-page "at a glance" section for those advisers that only have enough time (or willpower!) to read one page. At the other end of the spectrum, we include endnote references so you can see the legislation that sits behind the policy.

Are regularly updated

All documents are on a rotating update schedule. This schedule is reviewed and adjusted monthly based on legislative changes, as well as subscriber demand.

Are practical

Our review panel consists of both lawyers and an ex-financial planner. We also adjust documents over time based on user feedback, as we strive to keep documents compliant and practical.

How do we update our documents?

The HN Hub Dashboard and monthly newsletter will alert you to new and updated documents. And for those who have access to our monthly Wrap Up webinars, we discuss any key documents that have been updated in more detail, and the key changes that were made.

Each updated version will provide clear information of what has changed from the previous version, so you can decide whether to amend the version you have, or download the newer template.

There's also an archive section if you need it to source older versions that you may have downloaded in the past.

Current as at April 2022

Training

The HN Hub includes a suite of online and face-to-face training options for Responsible Managers & Compliance Staff.

HN Hub Inclusions...		FREE	Base (only)	+Add-on Training	+Add-on AML	Full Access
On-Demand						
Expert Interview Series	In these 20-30 minute videos, Holley Nethercote lawyers lean on their deep regulatory expertise to answer common queries. Each video provides 5 top tips. Topics include: • AML/CTF for beginners • SOA file reviews • Picking a Responsible Manager • Handling ASIC visits & investigations • Breaches –vs– incidents	✓	✓	✓	x	✓
Online (live & on-demand)						
Topical Webinars (Monthly*) * No webinars are held in January	These sessions are aimed at Responsible Managers and compliance staff. Topics we cover include: • When can your service providers get you into hot water? • Monitoring & supervision update • AFCA –vs– ASIC • Use of Regtech in compliance	x	x	✓	x	✓
The Accountant Series (Quarterly)	To support licenced accountants, we run a quarterly webinar series to address their unique issues. The 4 webinars consist of: • 2 x Super: Unpacked for Licensing Webinars - where we explore superannuation issues covering the last 6 months, and whether you need to be licensed or not to advise clients on those issues • 1 x Asset Allocation Webinar – to support those with class of product authorisations on their limited licence • 1 x Insurance Webinar – looking at insurance issues accountants need to know about with insurance on their authorisation	x	x	✓	x	✓
Technical Sessions (CFDs, Pmts) (Bi-annually)	To support specific sectors of the financial services industry in meeting their technical requirements, we run half yearly technical sessions. Industries we currently run these for are: - Payments - CFD providers	x	x	✓	x	✓
One-off Webinars (As Required)	From time-to-time, we will run one-off webinars on major regulatory developments or changes.	x	x	✓	x	✓
AML/CTF Training (Annually)	Our annual workshop helps you meet your annual AML/CTF training requirements. The workshop will: • give you the knowledge and skills to identify the risks of regulated businesses being unwittingly involved in AML/CTF and • help you maintain your AML/CTF program to ensure it is in line with the requirements in the AML/CTF rules and regulations	x	x	x	✓	✓

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Training

HN Hub Inclusions...		FREE	Base (only)	+Add-on Training	+Add-on AML	Full Access
Member-only Events						
Wrap Ups (Monthly)	These "interview style" webinars, which are capped at 30 minutes, have been described as the "most essential" part of our subscription service. Our General Manager chats to one of our lawyers each month, covering: • Legal FAQs – Holley Nethercote lawyers answer common legal questions asked by our community of subscribers. • Document Updates – we explain how our documents and training can help you address regulatory change. • Key Regulatory Info – we discuss the practical side of current regulatory changes as identified in our monthly Tailored Regulatory Update Newsletter, TREX. • Subscriber Questions – we respond to other questions we have received over the month. We understand that different sectors of the industry have different issues. To cater for this, we run three different Wrap Ups: • A General Wrap Up - geared towards institutions and those who do not provide personal advice to retail clients • A Personal Advice (Planners & Accountants) Wrap Up – addressing issues for those providing personal advice to retail clients.	x	✓	✓	x	✓
Industry Forums (Quarterly or Bi-annually)	Effective learning programs need a blended learning approach – some online, some face-to-face. We run a number of face-to-face forums. Members are able to attend any of these at no additional charge. Currently we hold forums for: • Advice Licensees (Bi-annually) • Payments (Quarterly) • CFD providers (Quarterly) • Credit providers (Bi-annually) • Accountants (Bi-annually)	x	✓	✓	x	✓
Events & Training						
Discounts to Live Events	Public courses (such as our Responsible Manager Training courses) are not part of the HN Hub subscription. However, subscribers are entitled to a discount on these courses as well as any other live events e.g. topical webinars. The discount depends on the level of subscription and only applies to live events and not on-demand.	5%	10%	20% Training	-	**20%**

Play on-demand:

All monthly Wrap Ups and Topical Webinars are recorded and available to watch at any time.

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