



## COMPLIANCE CHECKLIST FOR ADVISORS

### POLICY AND PROCEDURE MANUALS

1. AML/ATF Policies and Procedures Manual
2. Compliance Policies and Procedures Manual
3. Privacy Policies and Procedures Manual
4. Sales Process Policies and Procedures Manual



### CLIENT FILE TEMPLATES AND FORMS

1. Disclosure Statement
2. Engagement Letter
3. Fact Finding & Needs Analysis
4. Know Your Client (KYC)
5. Leverage Loan Disclosure
6. Point of Sale Disclosure – Segregated Funds
7. Privacy Statement Including CASL
8. Replacement Disclosure
9. **Other items:** Illustrations, Policy Delivery Receipt, Meeting Notes

