

Monthly employee attestation

I attest that after due enquiry and to the best of my knowledge and belief, in the preceding period ending the last day of the month shown below, the following applies and is true and accurate.

In respect of the [month] ending dd/mm/yyyy, I attest to the following:

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| --- | --- | --- |
| Attestation Question | Definitions | Employee Response |
| 1. I have raised and reported all errors and omissions during the month which may give rise to a claim being made against *[insert name of AR]*, or any of its Directors, employees or representatives, by a customer or any other party with whom we transact business. | Error or omission means the failure to execute the required actions or correct actions. Indication of a claim being made is not required, merely a failure to do something or having done something incorrectly in context of the services of a professional insurance broker. |  |
| 2. I have raised and reported any circumstances where a complaint has been, or is likely to be made against me or the work that I have performed. | A complaint is an expression of dissatisfaction made to or about an organisation – related to its products, services, staff or the handling of a complaint – where a response or resolution is explicitly or implicitly expected or legally required (RG 271). *[insert name of AR]* adopts a conservative approach to raising a complaint. |  |
| 3. a) I have raised and reported any potential conflicts of interest in my dealings with customers or their broker.  b) I have raised and reported any gifts or benefits over $100 that I have received from an Insurer, broker, customer, service supplier or any other party. | Conflicts of interest are circumstances where some or all of the interests of people (clients) to whom a licensee (or its representative) provides financial services are inconsistent with, or diverge from, some or all of the interests of the licensee. This includes actual, apparent and potential conflicts of interest (RG 181)  A Gift or Benefit is something that has a monetary value or worth and is received because of a business-related relationship. They include tangible items of value whether for promotional or commercial purposes such as gift cards, alcohol or any other physical goods and intangible items for which payment is normally required, such as free or discounted services, luncheons, conferences or entertainment event tickets and travel. They exclude gifts and benefits provided for internal reward and recognition purposes and those associated with formal sponsorship arrangements |  |
| 4. I have raised and reported all incidents of non-compliance or breaches that I have become aware of.  Breaches include financial services laws including privacy and the GI Code of Practice. | An incident of non-compliance (incident) is any event that has happened or is likely to happen, resulting in or could reasonably result in, a breach of *[insert name of Licensee and AR]*’s AFS Licence, Financial Services Laws or Code of Practice obligations  A breach is an actual breach or likely breach of an obligation.  An incident is simply something that has happened that should not have happened and includes a break-down in controls for process, people or technology. *[insert name of AR]* adopts a conservative approach to raising an incident. |  |
| 5. I have raised and reported any non-adherence to the Company’s, manuals, policies and/or procedures. | This recognises that the Company’s documents represent the way that we want to do business. Any instance of non-adherence may have unintended consequences. |  |
| 6. I have raised and reported all other matters that I feel might expose the Company | This recognises that the monthly attestation process acts as an early warning system for *[insert name of Licensee and AR]* with our people raising issues as soon as possible to mitigate the risk of harm to our clients, the business and our people. |  |
| 7. I have taken [type of leave] leave this month. | *[insert name of AR]* is focused on the wellbeing of its people. Taking leave entitlements not only is beneficial for mental health but helps to reduce the risk of errors and mistakes.  This question serves as a timely reminder to our people to ensure they maintain a balanced lifestyle and not allow unused leave to unnecessarily accumulate. |  |
| 8. I have undertaken training / CPD training this month, recorded the training in the training register and have retained a record of such training. | *[insert name of AR]* has an obligation to ensure that its people maintain the skills and knowledge to continue to provide the financial services.  This question services as timely reminder to take the time to self-develop and spread training throughout the year. |  |

Name: Date:

Signature of Employee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_