

Annual Code of Conduct declaration

I, _____, of _____,
(Full Name) (Name of Firm)

Declare that:

1. I hold the authority to represent and sign on behalf of my firm.
2. I have comprehensively read the Australian Investment Council's Code of Conduct (May 2017 version).
3. To the best of my knowledge, I confirm that over the course of the preceding 12 months, my firm has had in place appropriate policies and procedures to ensure that the firm is able to satisfy its obligations as set out in the Code of Conduct.
4. I understand failure to abide by the Code of Conduct may result in disciplinary action and possible expulsion from membership under the rules of Australian Investment Council's Constitution (November 2015).
5. I agree to take all reasonable steps to ensure that my firm continues to comply with the Code of Conduct over the forthcoming 12 months.

Signed: _____

Position Title: _____

Date: _____