



Best Practice User Guide: Information Request

1. Information request form

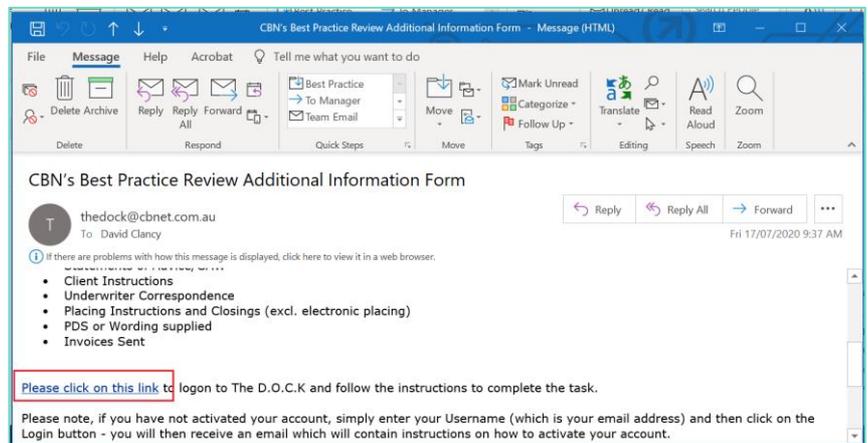
Best Practice reviews involve sighting certain documents and evidence to demonstrate compliance in accordance with AFSL obligations.

Where evidence of documents cannot be located during the review process, we will write to you asking for what is required to be compliant (see email example below).



Select:

'Please click on this link' will direct you to the D.O.C.K to complete the review.



Enter your credentials to access The D.O.C.K



The **"Additional information form"** will display (see below).



The form lists the documents or evidence required.

Helpful hint: the form will also be in your 'To-Do' list

INSTRUCTIONS TO ATTACH A DOCUMENT:

Step 1: Select the **'Yes'** button.

Step 2: Add comments if required.

Step 1 →

Step 2 →

Step 3: Attaching a document: Click the **'Select file'** button (to access your folders) > select the relevant folder where the document is saved > double click the document to attach > click **'Open'**

Step 3 →

Name	Date modified	Type	Size
Dropbox	16/01/2020 2:27 ...	Shortcut	2 KB
Example_of_VLOOKUP	7/01/2020 9:46 AM	Microsoft Excel W...	26 KB
FSG	23/06/2020 9:29 ...	PDF File	16 KB
Invoice	23/06/2020 9:30 ...	PDF File	16 KB
Microsoft Teams	2/07/2020 4:45 PM	Microsoft Excel W...	68 KB
Microsoft Teams	9/06/2020 8:03 AM	Shortcut	3 KB
Testing attachment	22/06/2020 4:12 ...	Microsoft Word D...	12 KB
Testing attachment	29/06/2020 9:43	Microsoft Excel W	9 KB



Document will upload to the Form in The D.O.C.K.

NOTE: If you CANNOT locate or provide the document requested, select the **'No'** button and provide commentary in the notes section:



These fields are mandatory. Form will **NOT** submit without evidence or comments.

Financial Services Guide - there is: No FSG sighted
NO EVIDENCE the client was provided a copy of the Financial Services Guide (FSG)

Do you have the evidence available to attach to this form?
 Yes No
You must choose Yes or No

Please provide comments or notes: *

This field must not be left blank

Helpful hint: Repeat the same process for any other questions requiring your attention.

Step 4: change form status to **'Active'** and click **'Submit'**

Step 4 →

Saving The Form

If you have partially completed the form and intend to return to complete it, change the status below to 'Draft' and click on the submit button. This will save the form and allow you to go back to complete it as it will appear on your Dashboard 'To Do' list.

If you have fully completed the form, ensure all mandatory fields have been completed, ensure or change the status below to active and then click on the submit button.

Status :-

* Indicates a mandatory field.

Form Data Id: 107729	Last Updated: 22/06/2020 04:15 PM	User: David.Clancy@cbnet.com.au
--------------------------------	---	---

Submit

Helpful hint: If are not ready to submit the documents, change status to **'Draft'** and click **'Submit'**.



Once submitted, you will receive a confirmation message

✓ Form Confirmation

Your Form has been submitted successfully

Please note your Reference Number: 93426



If you receive an incomplete pop-up warning (below), reopen the form and address any of the mandatory questions (these will be highlighted red).

⚠ Form Confirmation

Your Form has been saved successfully however, all questions have not been answered.

To complete the form, please re-access and answer each of the mandatory questions.

Please note your Reference Number: 93426

2. How to check my results?

Once the Best Practice review is complete, we will write to you (see email example below).



Scroll down
the email to
view your best
practice review
results.

As part of CBN's commitment to excellence and overriding obligations and responsibilities as an AFS Licensee, the Compliance team regularly review our AB's policy transactions to ensure we are meeting these requirements.

As such, we recently reviewed a sample of policies you processed and wish to congratulate you on achieving a compliant score of 100.00%

Your results are below.

If you have any questions about the review or the outcome, please contact the CBN Risk and Compliance team or your State Manager.



FOR PRINCIPALS:

Principals can access **all** results on the Analysis page by selecting their Business in the Tree Node drop down

ANALYSIS To Do 9 | Categories | Search | Analysis

Report Best Practice Review ▼

Search Tree Node CBN Group ▼ Search



Register of **all**
reviews by
Authorised
Representative.
Click on
advisor's details
to open the form
and review the
itemised results.

Date of Review / Scorecard Completed By	Authorised Broker	Name of Contact at Authorised Broker	Number of Files Reviewed	Overall Scorecard Results		
				Review Points	Review Percentage	Result
Carmen Tate	ERM Test Broker	Carmen Tate	6	0	0	Compliant
02/07/2020 David Clancy	ERM Test Broker	Carmen Tate	3	300	100	Compliant
20/7/2020 Carmen's Test	ERM Test Broker	Carmen Tate	1	80	80	Compliant
20/7/2020 Carmen Tate	ERM Test Broker	Carmen Tate	1	75	75	Compliant
20/7/2020 David Clancy	ERM Test Broker	David Clancy	1	100	100	Compliant
20/07/2020 Dave Clancy	ERM Test Broker	David Clancy	1	80	80	Compliant
20/7/2020 David Clancy	ERM Test Broker	David Clancy	1	100	100	Compliant
20/7/2020 David Clancy	ERM Test Broker	David Clancy	1	60	60	Non-compliant

3. Need more help?

The D.O.C.K:

<https://secure.ermonline.com.au/financialservices/html/>

The HUB:

<https://thehub.cbnet.com.au/login/?redirect=https%3A%2F%2Fthehub.cbnet.com.au%2F>

Risk and Compliance Team:

Compliance@cbnet.com.au

or

Your local State Manager