

#67

**COMPLETE**

**Collector:** Web Link 3 (Web Link)  
**Started:** Friday, November 09, 2018 8:33:25 AM  
**Last Modified:** Friday, November 09, 2018 8:44:55 AM  
**Time Spent:** 00:11:29

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Page 3

**Q1** Overall, do you agree or disagree with [standard 1] and proposed commentary? **Agree**

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**Q2** Please provide any comments on [standard 1] and the proposed commentary. **Respondent skipped this question**

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Page 4

**Q3** Overall, do you agree or disagree with [standard 2] and proposed commentary? **Agree**

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**Q4** Please provide any comments on [standard 2] and the proposed commentary. **Respondent skipped this question**

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Page 5

**Q5** Overall, do you agree or disagree with [standard 3] and proposed commentary? **Agree**

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**Q6** Please provide any comments on [standard 3] and the proposed commentary. **Respondent skipped this question**

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Page 6

**Q7** Overall, do you agree or disagree with [standard 4] and proposed commentary? **Agree**

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**Q8** Please provide any comments on [standard 4] and the proposed commentary.

Its important that "reasonable steps" here doesn't get morphed by regulation into the shambles that AML Act where 'reasonable steps' becomes 3mnth timed certification of ID

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Page 7

**Q9** Overall, do you agree or disagree with [standard 5] and proposed commentary? **Agree**

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**Q10** Please provide any comments on [standard 5] and the proposed commentary. **Respondent skipped this question**

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Page 8

**Q11** Overall, do you agree or disagree with [standard 6] and proposed commentary? **Agree**

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**Q12** Please provide any comments on [standard 6] and the proposed commentary. **Respondent skipped this question**

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**Q13** Overall, do you agree or disagree with [standard 7] and proposed commentary? **Agree**

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**Q14** Please provide any comments on [standard 7] and the proposed commentary. **Respondent skipped this question**

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**Q15** Overall, do you agree or disagree with [standard 8] and proposed commentary? **Neither agree nor disagree**

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**Q16** Please provide any comments on [standard 8] and the proposed commentary. **Respondent skipped this question**

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**Q17** Overall, do you agree or disagree with [standard 9] and proposed commentary? **Neither agree nor disagree**

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**Q18** Please provide any comments on [standard 9] and the proposed commentary. **Respondent skipped this question**

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**Q19** Overall, do you agree or disagree with [standard 10] and proposed commentary? **Agree**

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**Q20** Please provide any comments on [standard 10] and the proposed commentary. **Respondent skipped this question**

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**Q21** Overall, do you agree or disagree with [standard 11] and proposed commentary?

**Neither agree nor disagree**

**Q22** Please provide any comments on [standard 11] and the proposed commentary.

**Respondent skipped this question**

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**Q23** Overall, do you agree or disagree with [standard 12] and proposed commentary?

**Neither agree nor disagree**

**Q24** Please provide any comments on [standard 12] and the proposed commentary.

**Respondent skipped this question**

Page 16

**Q25** Is there anything missing from the draft Code?

**No**

**Q26** If you answered yes, what is missing?

**Respondent skipped this question**

**Q27** Do you have any feedback on the examples, or suggestions on other examples that should be included in the draft Code?

**Respondent skipped this question**

**Q28** Is there anything else you want to say?

**Respondent skipped this question**

Page 17

**Q29** Name

**Respondent skipped this question**

**Q30** Your role or professional title

Financial Adviser

**Q31** Individual or organisational submission

**This is an individual submission and not on behalf of an organisation**

**Q32** If you give financial advice...

**I am a RFA**

**Q33** My organisation or I give the following types of advice...

**Investments,  
Mortgages**

**Q34** Organisation Name

Respondent skipped this question

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**Q35** Type of organisation

Independent adviser

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**Q36** Size of organisation

Small firm (1-10 staff)

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**Q37** If there are other things we should know about you or your business that would provide context to your answers, please provide details below.

Respondent skipped this question

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**Q38** Please indicate whether your submission contains any information that is confidential or whether you do not wish your name or any other personal information to be included in a summary of submissions.

Respondent skipped this question

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**Q39** Please provide your contact details (email and/or phone number) This is the only question that requires an answer. This information would not be released publicly. We may get in touch with you in order to help us understand particular points from your submission.

s 9(2)(a)

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