

Regulatory & Compliance Audits

The Issue

Not all audits are about annual financial statements. Regulators, industry bodies and funding providers often require **specialised compliance audits** to ensure organisations are meeting specific rules, laws or contractual conditions.

Whether it's demonstrating compliance to a regulator, providing confidence to funders or meeting licensing obligations, these audits deliver assurance that your organisation is operating responsibly and transparently.

What we do for you

Beyond the financial statements. Independent assurance where it matters.

We perform a wide range of regulatory and compliance audits beyond statutory financial reporting, including:

- a. **AML/CTF audits** – Independent review of compliance programs in line with AUSTRAC requirements, ensuring policies, controls and reporting obligations are effective.
- b. **APRA & ASIC compliance audits** – Prudential standards, regulatory returns and licensee obligations.
- c. **AFSL & financial services audits** – Client money, compliance programs and licensee conditions.
- d. **Trust account audits** – For solicitors, accountants, real estate agents and other professions with client money obligations.
- e. **Grant acquittals & funding audits** – Verification of expenditure against funding agreements.
- f. **Not-for-profit & charity compliance audits** – Ensuring adherence to ACNC and funding body requirements.
- g. **Other certifications & agreed-upon procedures** – Tailored compliance reviews where stakeholders require independent assurance

The Benefits

The benefits to you are:

1. **Regulatory assurance** – Independent reports that satisfy regulator and industry body requirements.
2. **Stakeholder confidence** – Demonstrate transparency to funders, boards and members.
3. **Efficiency** – Minimise disruption with audits tailored to your organisation.
4. **Early warning** – Identify compliance gaps and risks before they escalate.
5. **Credibility** – Build trust with regulators, funders and the public.

What's next

Regulatory and compliance audits go beyond statutory obligations — they safeguard your licence, your funding and your reputation.

Connect with us and connect to possibility.