

# **Capability Statement**

## **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.

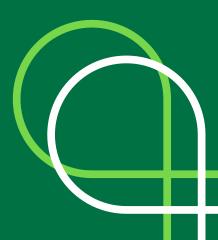
Whether it's demonstrating compliance to a regulator, providing confidence to funders or meeting licensing obligations, these audits deliver assurance that your organisation is operating responsibly and transparently.

### 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





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### **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.

