Document Retention Policy

[Insert full company name]

SAMPLE

TEMPLATE

Company:	[Insert full company name]
ACN:	[Insert]
AFSL:	[Insert]
Date Updated:	[Insert date]

TABLE OF CONTENTS

SECTION A – INTRODUCTION 4

1. INTRODUCTION 4

2. DEFINITIONS 4

3. CORPORATE RECORDS 4

4. RESPONSIBLE PERSON 5

SECTION B – RETENTION OF CORPORATE RECORDS 5

5. OBLIGATIONS TO RETAIN CORPORATE RECORDS 5

6. COMPUTER SYSTEMS 6

SECTION C – DEALING WITH RETAINED DOCUMENTS 6

7. ACCESS 6

8. STORAGE, RETRIEVAL AND CONTROL OF RETAINED DOCUMENTS 7

9. DISPOSAL/DESTRUCTION OF RETAINED DOCUMENTS 8

10. SENSITIVE RECORDS 8

SECTION D – CONCLUSION 8

11. TRAINING AND NON-COMPLIANCE WITH THIS POLICY 8

12. POINT OF CONTACT 9

13. POLICY REVIEW 9

ANNEXURE A – DOCUMENTS TO BE RETAINED BY [INSERT DEFINED COMPANY NAME] 10

SAMPLE

TEMPLATE

VERSION CONTROL

Version Number	Date Updated	Notes
1	[insert date]	Original document prepared and finalised.

TEMPLATE

SAMPLE

SECTION A – INTRODUCTION

1. INTRODUCTION

1.1 This Document Retention Policy ("**Policy**") applies to all officers, directors and employees of [Insert defined company name] as well as any agents, contractors or authorised representatives that act for or on behalf of [Insert defined company name].

1.2 This Policy applies to all Corporate Authorised Representatives, Authorised Representatives and Sub-Authorised Representatives of [Insert defined company name].

1.3 The purpose of this Policy is to outline the obligations that apply in relation to the management, retention, retrieval and destruction of documents. This Policy is intended to ensure that [Insert defined company name] complies with its statutory obligations to retain documents as well as provide mandatory policies for the retention of documents.

2. DEFINITIONS

2.1 **[insert defined company name]** means [insert full company name].

2.2 **Personal Advice** means personal financial product advice as defined by section 766B(3) of the Corporations Act.

2.3 **Personal Information** has the same meaning as given to it in section 6 of the Privacy Act 1988).

2.4 **Representative** means a director, officer, directors, employees, agents and contractors of [insert defined company name].

2.5 **Sensitive Record** means:

(a) records containing Personal Information;

(b) legal records; **[E.G. SUSPICIOUS MATTER REPORTS FOR AML/CTF PURPOSES]**

(c) privileged information and/or records;

(d) [insert] **[INCLUDE ANY OTHER RECORD TYPES TO BE CAUGHT BY THE 'SENSITIVE RECORDS' REQUIREMENTS OUTLINED IN THIS POLICY]**

3. CORPORATE RECORDS

3.1 The corporate records of [Insert defined company name] are important assets. A corporate record is any document, whether in electronic or hard copy, created by a Representative of [insert defined company name].

3.2 A corporate record may be:

(a) a memorandum;

(b) an e-mail;

SAMPLE
TEMPLATE