

Obligations register

A ready-made register of the obligations that apply to a financial advice provider, each with a control, evidence and a status.

Extra tool for financial advice firms

What it is for

For each obligation you record your current control, the evidence you have sighted, a red, amber or green status, an owner and a review date. Extra tool for financial advice firms.

How to use it

- 1 **Open the register**
Open it from your dashboard. The obligations are in sections: select a section heading to open it.
- 2 **Choose a status**
For each obligation choose green, amber, red or not applicable. If you use the CPD tool, it may suggest a status for the CPD obligations. Select **Use this** to accept it.
- 3 **Describe your control**
Write what you actually do to meet it, in **Current control**.
- 4 **Note the evidence**
Record what you have sighted in **Evidence sighted**.
- 5 **Set the owner and review date**
Name the owner and set the **Next review date**. Everything saves as you go, so there is no Save button.
- 6 **Add your own**
In **Your own obligations**, fill in the form and select **Add obligation** for anything the register does not cover.

Before you start

- Know who is responsible for each area of your compliance.
- Have your evidence to hand: documents, records or sign-offs.

Good habits

- Be honest with the status. Red is useful because it gets acted on.
- Use **Notes** for context a reviewer will want later.
- Re-open each obligation when its review date comes up.

How you sign in

Opens with your private link. No password to manage.

Optional AI wording help is always labelled as AI. Nothing in the register is legal advice.

Verfapp supports your compliance. It does not certify it, and it is not legal advice. Screens shown use sample data.

Need a hand?

We are happy to walk you through it.

www.verfapp.co.nz
info@verfapp.co.nz