

OATT Standards of Conduct (SoC) Audit Instruction & Checklist

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Revision #: RETIRED

6.0 REVISION HISTORY

Revision	Prepared by	Reason for change
October 2017 – rev 0	Dave Kelly	Issued.
October 2018 – rev 1	Nicole Mosher	Annual Review
September 2019 – rev 2	Kelsey Settle	Annual Review, no changes.
July 2020 – rev 3	Kelsey Settle	Annual Review, no changes.
June 8, 2021 – rev 4	Kelsey Settle	Annual Review, no changes.
December 2, 2021 – rev 5	Kelsey Settle	Changed signing authority from Nicole Mosher to Natasha Flynn.
December 30, 2022–rev 6	Kelsey Settle	Annual Review, no changes.
December 2023 – RETIRED	Natasha Flynn	Annual review, document retired as all sections of this document is covered in SoC-001 or are included in the annual training/certification.

7.0 DOCUMENT APPROVER

Position	Signature	Approval Date
Chief Compliance Officer (Natasha Flynn)		December 8, 2023

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