



Quality compliance training, policies and reporting in one hub

Designed for the Financial Services Sector

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The role of compliance within the financial services sector

Whether you're a Compliance, HR/L&D or Legal leader within the financial services sector, you understand the importance of maintaining high levels of compliance. Not only does it help to ensure regulatory requirements and ethical standards are met, but it also protects customers, maintains the organisation's reputation, and provides a competitive advantage.

Here are the key benefits of compliance for financial services organisations in Australia:

- **Regulatory compliance:** Compliance with ASIC, APRA, and RBA regulations is crucial to avoid penalties and loss of license to operate.
- **Customer protection:** Compliance ensures customers are treated fairly, receive accurate information, and that their data is secure from fraud.
- **Reputation management:** Compliance is critical for maintaining the reputation of the organization, avoiding damage, and rebuilding trust.
- **Competitive differentiation:** A robust compliance program can help differentiate the organization from competitors, attract customers who value ethical practices, and enhance overall performance.

By holding high levels of compliance, you can ensure that you're meeting your compliance obligations, you keep staff informed, engaged and educated across the ever-changing regulatory landscape and protect your organisation's reputation and financial status.

Meet compliance obligations across Banking Code, WHS, ACCC and more

Maintain high levels of health, safety and business integrity

Protect your workforce, the public and commercial success

Avoid financial, commercial and reputational risks

Reducing compliance risk in the financial services industry

We make it easier for organisations within the financial services industry to manage their compliance training, engage their workforce, maintain high levels of compliance and meet their obligations. Here are some of the ways we help solve the pain of compliance training:



Always stay on top of legislative changes

At Safetrac, we ensure that our training programs are up-to-date with the latest legislative updates, so you don't have to worry about outdated content.



Maintain engagement with flexible training options

Quality and engaging off-the-shelf, bespoke & custom courses. You can also BYO learning and upload courses into our LMS or request SCORM files for certain courses.



Remove the stress of scheduling and roll-out

Our Client Services team provide dedicated training program roll-out. From designing training schedules, to building learning groups and rescheduling.

We're the compliance training provider of choice for local, government and ASX-listed financial, banking and insurance businesses in Australia.



Award-winning compliance solution

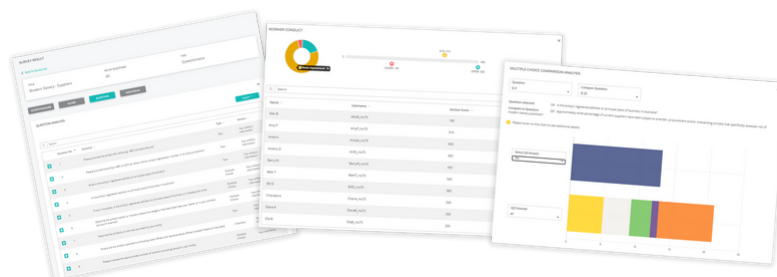
Quality compliance, training, policies
and reporting in one secure platform



Safetrac's award-winning Compliance LMS platform streamlines your compliance needs, saving you time and hassle. With our platform, you can easily design learning groups, track training completion and knowledge gaps, and simplify auditing.

You can choose from our extensive course library or bring your own modules for full visibility and reporting. Our platform is also scalable and can manage multiple subsidiaries and thousands of users.

With Safetrac's Compliance LMS, you can bring all of your compliance training, policies and reporting into one place to easily manage your compliance obligations.



Easily manage training with Safetrac's Compliance LMS



Flexible platform to suit your business

Flexibility to design how you want to run your training programs, cohorts, and modules utilising smart tagging features and learning groups.



Simplify the roll-out of your training programs

Utilise automated enrolments, training cycles set to your frequency, and push out instant updates across your organisation.



Make informed decisions and report across the business

Get a complete picture of your organisation's compliance status with real-time reporting, surveys and tracking capabilities.



Compliance management and auditing made easy

Make auditing a breeze by housing all of your policy distribution, attestations and metrics in one place.



High standards of security & ISO Certified

Our platform is audited annually for our security certifications for international standards of ISO 27001 and ISO 9001.



Get full visibility on engagement, effectiveness and risks

See across your training programs, allowing you to identify completed training and knowledge gaps, make informed decisions, and reduce risk.





Engaging courses designed to boost completion

Choose Safetrac for the best training courses for your financial services organisation. Our engaging and interactive courses will help increase completion rates and boost workforce engagement.

Plus, you'll receive complimentary booster courses that can be immediately rolled out if new legislation is passed, so you can stay ahead of the curve. Here are some of the other reasons why top ASX-listed, local and government organisations choose Safetrac courses:

Engaging and interactive courses

Trust Safetrac to deliver engaging, accessible, legally accurate, and cost-effective training programs with our focus on ideal learning principles and interactivity.

Complimentary Booster Courses

Upskill staff who have completed previous courses with our Booster Courses to get them up to speed on regulatory changes.

Course formats to suit your business

Select the ideal training format to meet your compliance obligations and engage your workforce, with Safetrac's Accelerated, MicroLearn and ShortBurst learning options.

Regular Legislative Updates

Our courses are constantly reviewed by legal experts to ensure they're up-to-date with current Australian legislation.

[Book a consultation today](#)

Speak to the team to find out the right training program for your business.

Courses we recommend for financial services

With over 150+ quality compliance courses available, you can tailor our courses to suit your business or choose our off-the-shelf courses designed for the financial services industry.

- Anti-money Laundering and Counter-Terrorism Financing
- Banking Code of Practice
- Complaints Handling (RG271)
- CPS 520 - Fit and Proper
- FSR - Customer Service Representatives (Non-Advice)
- FSR - Financial Advisers
- FSR - Vulnerable Customers
- Hawking Prohibitions
- Integrity and Compliance
- National Consumer Credit Protection
- Privacy Credit Reporting (CR) Code
- RG 78 - Breach Reporting by AFS & Credit Licensees
- RG 274 - Product Design & Distribution Obligations

Core Compliance

- Anti-Bribery and Corruption
- Anti-Bullying and Anti-Harassment
- Appropriate Behaviour at Work Functions
- Business Continuity Plan
- Code of Conduct
- Conflicts of Interest
- Cyber Security Awareness
- Discrimination
- Diversity and Inclusion
- Drug and Alcohol Policy
- Fire Safety
- Fraud Awareness
- General Evacuation and First Response Training
- Insider Trading
- Intellectual Property
- Modern Slavery
- Occupational Health & Safety - Employees
- Phishing
- Privacy Act Amendments 2022 Booster
- Privacy
- Privacy (including GDPR)
- R U Ok Booster
- Racial Discrimination
- Resilience and Mental Health
- Respect @ Work
- Risk Management Awareness
- Social Media in the Workplace
- Spam Act
- Unconscious Bias Awareness
- Whistleblowing - Eligible Recipients
- Whistleblowing - Reporting, Rights and Protections
- Work Health and Safety - Employees

Core Compliance - Selected Staff

- Anti-Competitive Conduct
- Consumer Protection and Unfair Business Conduct
- Contract Law
- Debt Collection
- Driver Safety
- Equal Employment Opportunity - Managers
- General Data Protection Regulation (GDPR)
- Induction Training
- Mental Health Obligations for Managers
- Occupational Health & Safety - Managers
- Payment Card Industry Data Security Standards
- Records Management
- Sanctions
- Victorian Privacy Principles
- Work Health and Safety - Managers and Officers
- Working from Home - Checklist
- Working from Home - Compliance
- Working from Home - Cyber Security



Respect@Work for financial services

Training, policy management and reporting to help prevent sexual harassment in the workplace.

The recent Respect@Work Report showed that 32%* of employees within the financial services sector have faced some form of sexual harassment in the workplace over the last five years. Today, organisations within this sector will need to prioritise key initiatives to work towards meeting the new Respect@Work Act laws, such as implementing preventative measures to stamp out sexual harassment in the workplace.

Safetrac can offer various initiatives to help organisations showcase reasonable measures. Organisations will have until December 2023 to implement these measures or face consequences for non-compliance. Here are some of the ways we can help:



Training courses that have been developed in accordance to the new laws.



Centralise policies, surveys and automate your regulatory attestations.



Our team will help roll-out the Respect@Work training suite to your entire business.



Speak to us today about dedicated leadership or customised training programs.

Speak to our Compliance Training Consultants to start implementing the right measures.

*Fifth national survey on sexual harassment in Australian workplaces – 2022 – Section 3.1(b), Figure 5: Incidence of workplace sexual harassment by gender in the last 5 years

Implementation and support services

Let Safetrac take care of the set-up and roll-out of your training groups.

As a valued customer, you'll receive inclusive customer and implementation support, freeing up your time to focus on training effectiveness and simplifying management.



Platform setup

Our Client Services team will set up your users, learning groups, personalised tags and user roles within the platform to save you the hassle. They'll also set up Single Sign On for your users if required.



Training program implementation

With 20+ years of experience in rolling out learning groups and training programs, our team help make compliance training easier by helping you design schedules, learning matrixes, automate recurring enrolments and set the right frequency of scheduled courses depending on your needs.



Ongoing local support

We have a team of local experts who are available to support you throughout the process. You will be assigned a dedicated Account Manager and Customer Success Consultant who will provide personalised assistance in managing learning groups and training programs

Discover why so many brands trust Safetrac with their compliance training



"My experience working with Safetrac over the last couple of years has been more positive feedback from senior management and employees when the training is delivered in a short and engaging way and the information really cuts through..."



"A Big Thank YOU to the team at Safetrac! I cannot fault the service provided as it is always timely, totally pleasant, extremely effortless and efficient.

The content we use is highly satisfactory. Safetrac's ability to create accurate yet palatable compliance training courses, gives us confidence that our staff understand the content, no matter the topic."



"Very efficient at assisting with the creation of new units which have been rolled out to staff."

We're the compliance training provider of choice for local, government and ASX-listed financial, banking and insurance businesses in Australia.





About Safetrac

Helping Australian businesses engage their workforce
and maintain high levels of compliance for 20+ years

Since its formation in 1999, Safetrac has provided businesses with engaging compliance training to ensure staff understand their legal obligations while passing the rigorous requirements of regulatory investigation. Today, Safetrac is recognised as providing the best compliance training programs in the Asia Pacific*.

We are very proud of the fact that during our 24-year history, no Safetrac client rolling out our compliance training annually has been found by a regulator to have an inadequate compliance training program in place.



Over 600+ local and ASX-listed companies use Safetrac to manage their compliance training.



Over 170,000+ active users engaged across our suite of courses and platform.



97% customer retention rate and no existing clients in breach of inadequate training.

Speak to us today

Get in touch with our team of experts on 1800 170 830 or visit safetrac.com.au.

* Safetrac has been awarded Learnx's Platinum Award for Best Compliance Training Program from 2011-2022 and APAC Insider Best Compliance Training Provider 2018

Manage high levels of compliance,
training and reporting in one
secure platform.

Contact us today

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[Contact us today](#)