

**Schedule 3 – to be completed by authorised firms that are branches.**

Ref No.	Question:	Response (Check appropriate box)	Why is your firm not in compliance with this requirement?	What is your firm doing, or intending to do, to bring itself into compliance with this requirement?
3.2.1(1)	Does the governing body of the branch have at least 3 members	No	We would like to clarify that we are not a branch; therefore, this requirement is not applicable to our organization.	We would like to clarify that we are not a branch; therefore, this requirement is not applicable to our organization.
3.2.1(3)	During the last calendar year did the governing body meet at least every 3 months, and at least 4 times in that year?	No	We would like to clarify that we are not a branch; therefore, this requirement is not applicable to our organization.	We would like to clarify that we are not a branch; therefore, this requirement is not applicable to our organization.