

OATT Standards of Conduct (SoC) Nonconformance Report

Document Number: OATT-SoC-004

Issue Date: October 2017

Last Reviewed: December 8, 2025

Revision #: 9

Description of Non-conformance
<p>[Click here and type Description of Nonconformance]</p> <p>Originated By _____ Date _____ Forward to Manager/Supervisor</p>
Corrective Action Taken to Prevent Recurrence
<p>Manager/Supervisor: _____ Title: _____ Date: _____</p> <p>* Complete below and forward to the Chief Compliance Officer (Natasha Flynn) *</p>
<p>Cause</p> <p>[Click here and type Cause]</p> <p>Immediate Corrective Action</p> <p>[Click here and type Immediate Corrective Action]</p> <p>Long-Term Corrective Action</p> <p>[Click here and type Long-Term Corrective Action]</p> <p>Follow-up of Corrective Action</p> <p>[Click here and type Follow Up of Corrective Action]</p> <p>Followed up by: _____ Date: _____</p>

1.0 Revision History

OATT Standards of Conduct (SoC) Nonconformance Report

Revision	Prepared by	Reason for change
October 17, 2017 – rev 1	Dave Kelly	Issued.
October 4, 2018 – rev 2	Nicole Mosher	Annual review
September 20, 2019 – rev 3	Nicole Mosher	Annual review, minor changes.
October 15, 2020 – rev 4	Nicole Mosher	Annual review, no changes.
December 2, 2021 – rev 5	Kelsey Settle	Annual review. Changed signing authority changed from Nicole Mosher to Natasha Flynn.
December 30, 2022 – rev 6	Kelsey Settle	Annual review, no changes.
December 2023 – rev 7	Natasha Flynn	Annual review, minor changes.
November 2024 – rev 8	Natasha Flynn	Annual review, no changes.
December 2025 – rev 9	Natasha Flynn	Annual review, no changes.

2.0 Document Approver

Position	Signature	Approval Date
Chief Compliance Officer (Natasha Flynn)		December 8, 2025