

OATT Standards of Conduct (SoC) Nonconformance Report

Document Number: OATT-SoC-004 Issue Date: October 2017 Last Reviewed: December 8, 2023

Revision #: 7

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

1.0 Revision History



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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.

2.0 Document Approver

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