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Non-	Date Assigned	Assigned To	Date to be	Date	Follow-up
conformance			Returned	Completed	Date
Report					

1.0 Revision History



OATT Standards of Conduct (SoC) Corrective Action Status Log

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)	Vataria Hynn	December 8, 2023