

OATT Standards of Conduct (SoC) Corrective Action Status Log

1.0 Revision History

| 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. |

2.0 Document Approver

| Position | Signature | Approval Date |
|---|--|----------------------|
| Chief Compliance Officer (Natasha Flynn) |  | November 20, 2024 |