

Financial Regulatory Compliance Checklist

Organization: _____

Date: _____

Prepared by: _____

Checklist

Compliance Requirement	Applicable? (Y/N)	Compliant? (Y/N)	Comments / Action Steps
Licensing and Registrations			
Anti-Money Laundering (AML)			
Know Your Customer (KYC) Procedures			
Data Protection & Privacy			
Consumer Protection Rules			
Risk Assessment & Management			
Reporting & Record Keeping			
Training & Awareness Programs			
Periodic Reviews & Audits			
Other (specify):			

Additional Notes

Add notes, findings, or follow-up items here.