

# Legal and Regulatory Compliance Checklist for Consulting Reports

## 1. Confidentiality and Data Protection

- ☐ Client sensitive data anonymized or protected
- ☐ Compliance with applicable data protection regulations (e.g. GDPR)
- ☐ No unauthorized disclosure of proprietary information

## 2. Legal Accuracy and References

- ☐ All legal and regulatory references are current and accurate
- ☐ Legal sources and statutes are clearly cited
- ☐ No unsubstantiated legal claims

## 3. Intellectual Property

- ☐ No third-party content used without permission or proper citation
- ☐ Copyright and trademark symbols used correctly
- ☐ Report does not violate any intellectual property rights

## 4. Disclosures and Disclaimers

- ☐ All assumptions clearly disclosed
- ☐ Limitations of analysis and scope included
- ☐ Conflict of interest statements (if applicable)

## 5. Regulatory Compliance

- ☐ Report aligns with relevant industry standards and regulations
- ☐ Required regulatory notifications or filings stated (if applicable)
- ☐ Recommendations conform with existing laws and policies

## 6. Documentation and Archiving

- ☐ Supporting evidence and sources are documented
- ☐ Report archived according to organizational policy
- ☐ Version control and author details included

## Sign-off

1. Reviewed by: \_\_\_\_\_

2. Date: \_\_\_\_\_