

# 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: \_\_\_\_\_