

# Financial Regulatory Compliance Audit Checklist

Company: \_\_\_\_\_

Date: \_\_\_\_\_

Auditor: \_\_\_\_\_

## 1. Licensing & Registration

Checklist Item	Status (Yes/No/N/A)	Notes
Valid business license and professional registrations in all operating jurisdictions		
Records of submission/renewal for required financial services licenses		

## 2. Internal Controls & Policies

Checklist Item	Status (Yes/No/N/A)	Notes
Documented policies for Anti-Money Laundering (AML) and Know Your Customer (KYC)		
Periodic review and update of compliance policies		
Segregation of duties for accounting and financial controls		

## 3. Reporting & Recordkeeping

Checklist Item	Status (Yes/No/N/A)	Notes
Compliance with required financial reporting deadlines (tax, regulators)		
Accurate maintenance and retention of accounting records		
Preparation and archiving of audit reports, supporting documentation		

## 4. Data Protection & Client Confidentiality

Checklist Item	Status (Yes/No/N/A)	Notes
Adherence to applicable data privacy regulations (e.g., GDPR, CCPA)		
Secure storage and disposal of client information		

## 5. Employee Training & Awareness

Checklist Item	Status (Yes/No/N/A)	Notes
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Regular compliance training for relevant staff

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Records of attendance for compliance training sessions

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**6. Risk Management**

Checklist Item	Status (Yes/No/N/A)	Notes
Risk assessment procedures documented and regularly reviewed		
Incident reporting and remediation procedures in place		

**Additional Comments:**

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**Auditor Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_