

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

Regular compliance training for relevant staff

Records of attendance for compliance training sessions

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:

Auditor Signature: _____

Date: _____