

Regulatory Compliance Due Diligence Template

Project / Entity Name:

Date:

Prepared by:

1. Regulatory Licenses & Permits

Item	Status/Notes
List all required licenses/permits	<input type="text"/>
Are all licenses/permits up to date?	<input type="text"/>
Expiry and renewal dates	<input type="text"/>

2. Regulatory Filings & Reports

Filing/Requirement	Status/Notes
Periodic reporting (e.g. annual, quarterly)	<input type="text"/>
Recent filings submitted?	<input type="text"/>
Outstanding issues	<input type="text"/>

3. Compliance Programs

Program/Policy	Status/Notes

Anti-corruption & Anti-bribery

Data privacy & protection

Internal audit & monitoring

4. Previous Regulatory Actions

- Has the entity ever been subject to regulatory investigation?

- List of any penalties, fines, or enforcement actions:

5. Ongoing Obligations

- Describe ongoing regulatory obligations:

- Person responsible for monitoring compliance:

6. Additional Comments / Findings

Sign-off: