

# Compliance Checklist

<b>1. Record-Keeping &amp; Documentation</b>	Y/N
Are all client records accurate and up to date? (applications, policy documents, agreements).	
Do you have a structured electronic filing system for easy retrieval and compliance audits?	
Are detailed records kept of all client interactions and advice given?	
Are all compliance related documents stored for the required retention period?	
<b>2. Regulatory Monitoring &amp; Updates</b>	
Do you stay informed about changes in financial regulations affecting your practice?	
Do you schedule regular compliance training for yourself and your team?	
Are all compliance policies updated to reflect current legislation?	
Do you subscribe to industry updates and compliance alerts from reputable sources?	
<b>3. Client Communication &amp; Disclosure</b>	
Do you provide clear, transparent disclosures on financial products and services?	
Do you ensure clients receive timely updates on policy changes or industry regulations?	
Do you maintain a communication log for compliance reporting and future reference?	
Do you use templated but personalised messaging to ensure consistent and accurate communication?	
<b>4. Compliance Reporting &amp; Audits</b>	
Do you conduct regular internal audits to assess compliance readiness?	
Do you ensure all compliance reports are accurate, up to date, and readily available for regulators?	
Do you track outstanding compliance tasks and deadlines to avoid penalties?	
Do you work with a structured workflow system to streamline compliance processes?	
<b>5. Data Security &amp; Privacy Measures</b>	
Do you protect client data with secure, encrypted storage systems?	
Do you regularly update cybersecurity protocols to prevent data breaches?	

Do you ensure compliance with POPIA and other data protection regulations?	
Do you limit access to sensitive financial information to authorised personnel only?	