CURRENT / DECISION REVIEW WORKSHEET

# Evidence. Owner. Next action.

Complete the fields below. Save a copy for your records. This is not a compliance score.
Explain any "Not applicable" response. Escalate material unresolved risks before aggregation.

**1. Can you identify your customers' relevant locations and eligibility, and reconcile that with actual use?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**2. Is the access basis documented for each product, venue and intermediary?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**3. Can you substantiate material public claims about returns, assets, reserves, audits and activity?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**4. Have applicable AML obligations been assigned and tested?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**5. Are relevant sanctions controls operating, with decisions and exceptions recorded?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

# Evidence. Owner. Next action.

Complete the fields below. Save a copy for your records. This is not a compliance score.
Explain any "Not applicable" response. Escalate material unresolved risks before aggregation.

**6. Can you produce the registration, exemption or other authority analysis for each material activity?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**7. Are conflicts and access to sensitive market information controlled and monitored?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**8. Does the counterparty review cover custody, collateral, liquidity, operational dependencies and exit?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**9. Do actual staff instructions and behavior match the policies shown to clients and regulators?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)

**10. Does someone own the process for assessing changes in rules, relief and material counterparty conditions?**

Status: Not assessed

Owner:

Evidence and next action (include any deadline)