

2025 Compliance Checklist

Get Back On Track

Are there compliance tasks
you wish you had
accomplished last year?

It's time to get up to speed.

Minimizing regulatory risks

Protecting client interests

Demonstrating professional integrity

Avoiding costly penalties and potential legal issues

Building trust with clients and regulatory bodies



one



Compliance Outsourcing: Strategic Partnership Assessment

- Conduct a thorough performance [review of your current compliance consultants](#)
- Identify your specific firm needs and compliance goals
- Compare current compliance services with market offerings
- If things aren't working with your current consultant - find another one.

two



Technology Transformation: Beyond Spreadsheets

- Eliminate manual Excel-based tracking. No more Excel spreadsheets.
- Implement comprehensive compliance technology with:
 - Automated reminder systems
 - Advanced document retention capabilities
 - Scalable infrastructure
- Ensure technology can adapt to your business growth
- Verify system integration capabilities. Prepare for transition.

three



Compliance Calendar: Navigating Regulatory Complexity

- Review recent regulatory changes. The [SEC Newsroom](#) is a great resource.
- Update testing procedures
- Verify comprehensive system testing:
- Email archiving completeness
- [Social media compliance](#)
- Text messaging tracking
- Accurate billing calculation methods
- Incorporate the latest regulatory guidance and FAQs

four



Risk Profile Customization: Your Unique Compliance Blueprint

- Assess organizational structure
- Consider factors like:
 1. Work environment (remote/hybrid/in-office)
 2. Service offering specifics
 3. Technology used
 4. Employee workflow and interactions
- Develop tailored [risk mitigation strategies](#)

five



Policies and Procedures: A Comprehensive Overhaul

- Update all rule references
- Align procedures with current business practices
- Remove generic template language
- Ensure comprehensive coverage of operational processes
- Implement a regular review schedule

six



Documentation Consistency: Audit-Ready Approach

- Review [ADV documents](#)
- Update client agreements
- Ensure cross-document alignment
- Prepare comprehensive audit trail
- Implement version control
- Create a centralized documentation management system

seven



Continuous Learning and Adaptation

- Review [recent enforcement reports](#)
- Stay informed about industry regulatory developments
- Allocate resources for [compliance training](#)
- Create a compliance improvement feedback loop