

FINTECH COMPLIANCE CHECKLIST PDF

FOR FOUNDERS AND CCOs



Starting a regulated fintech business?
Make sure to embed these compliance obligations into your firm’s DNA.




Regulatory Compliance

- 1.1 Licensing and Registration
- 1.2 Anti-Money Laundering (AML) and Know Your Customer (KYC) Policies
- 1.3 Data Privacy and Security
- 1.4 Consumer Protection




Operational Compliance

- 2.1 Governance and Risk Management
- 2.2 Compliance Training and Awareness
- 2.3 Compliance Monitoring and Auditing
- 2.4 Vendor Management



Technology Compliance

- 3.1 Information Systems Security
- 3.2 IT Governance
- 3.3 Electronic Transactions and Payment Processing




Reporting and Documentation

- 4.1 Regulatory Reporting
- 4.2 Recordkeeping
- 4.3 Document Management

At the onset, assign compliance for each area to your key executives in Operations (CCO), Technology (CTO and CIO), and Reporting (FinOps).

But that still leaves Regulatory Compliance, requiring specialized knowledge and expertise.

Ready to hire a Chief Compliance Officer? Not yet? In the interim, consider outsourcing compliance entirely to an experienced team (or partially, if on a limited budget and need it done fast).



Reach out today for a free consultation: info@innreg.com or call **305-908-1160**.

InnReg is a team of over 30 Regulatory Compliance and Innovation Consulting experts helping fintechs succeed in highly regulated markets since 2013, globally. InnReg provides fintech compliance and operations consulting and outsourced fintech compliance services focused on mitigating regulatory risk while helping clients launch and grow innovative fintech products and services.

