

Client Correspondence Compliance Checklist

General Information

Correspondence Date	
Client Name	
Reference Number	
Sender	
Recipient	
Subject	

Compliance Checklist

Item	Compliant	Notes
Correct client(s) and reference identified		
Accurate subject stated		
Appropriate and professional language/tone		
All required disclosures and disclaimers included		
Confidential information handled properly		
Compliance with applicable regulations verified		
Relevant supporting documents attached		
Internal approval/review obtained (if required)		

Additional Comments