

# Fintech Vendor Regulatory Compliance Checklist

## Vendor Information

Vendor Name	
Contact Person	
Date of Assessment	

## Regulatory Scope

Regulation/Standard	In Scope?	Notes
GDPR		
GLBA		
PCIDSS		
SOX		
Other		

## Checklist

Requirement	Compliant	Documentation	Reviewer Notes
Due Diligence Performed			
Data Privacy Controls			
Information Security Controls			
Incident Response Procedures			
Regulatory Reporting Capabilities			
Subcontractor Management			
Periodic Review Frequency			

## Reviewer

Name	
Signature	
Date	

