

# Regulatory Compliance & Audit Readiness Template

## 1. Header

- **Domain:**
- **Author / Owner:**
- **Date / Version:**
- **Regulatory Scope:** (e.g., SEC 40-Act/34-Act, GIPS, IRS, ESMA, AIFMD)
- **Review Forum:** (Domain Council / Compliance Review Board)

## 2. Purpose

- Document how the solution/domain meets **regulatory obligations**.
- Provide evidence of **controls, lineage, and auditability**.
- Ensure compliance is **designed in, not retrofitted**.

## 3. Regulatory Requirement Mapping

Requirement /	Data Elements	Controls in Place	Evidence / Audit	Owner
SEC – Sleeve-Level Attribution	Strategy ID, Sleeve	Automated DQ checks on strategy tags	Lineage report, exception log	Lead Architect –
GIPS – Performance	Returns, Benchmarks	Benchmark mapping validation, reconciliation	Benchmark mapping logs,	Solution Architect –
IRS – Tax Reporting	Tax Lots, Cost Basis	Tax lot reconciliation rules	Tax lot audit trail, Ops attestation	Solution Architect –
ESMA – AIFMD Filings	Alternatives Data	Data lineage from fund accounting to filings	Colibra lineage report	Domain Data

## 4. Data Lineage & Traceability

- **Lineage Tool:** (OpenLineage, Colibra, etc.)
- **Coverage:** % of CDEs mapped from source → transformation → filing.

- **Auditability:** Screenshots or links to lineage reports.
- **Gaps:** (document any manual processes still in place).

## 5. Data Quality Controls

- **Critical Data Elements (CDEs):** List and define.
- **DQ Rules Applied:** e.g., NAV tolerance  $\pm 1\text{bps}$ , strategy tag completeness = 100%.
- **Exception Handling:** Workflow for breaks (Ops dashboard, escalation path).
- **Monitoring:** Metrics and thresholds.

## 6. Evidence Repository

- **Audit Artifacts Stored In:** (e.g., SharePoint, Nuxeo, GRC tool).
- **Evidence Types:**
  - Lineage diagrams
  - Reconciliation logs
  - Exception reports
  - Ops attestations
  - ARB approvals
- **Retention Policy:** (regulatory requirement, e.g., 7 years).

## 7. Readiness Assessment

- **Compliance Posture:** (Ready / Partial / At Risk).
- **Open Findings:** List unresolved audit/compliance issues.
- **Mitigation Plans:** Actions with owners & due dates.
- **Next Audit/Reg Review Date:**