

# Technology Services Regulatory Compliance Checklist

## Confidential Document

Prepared for: Potential Investors and Due Diligence Review

Company: Nexus Intelligent Systems, Inc.

Date of Preparation: January 22, 2024

Document Version: 1.0

## 1. PRELIMINARY REGULATORY COMPLIANCE OVERVIEW

### 1.1 Purpose of Checklist

This comprehensive Regulatory Compliance Checklist is designed to provide a systematic assessment of Nexus Intelligent Systems, Inc.'s ("Company") adherence to applicable regulatory frameworks governing technology services, data protection, and enterprise AI solutions.

### 1.2 Scope of Compliance Assessment

The checklist encompasses regulatory compliance across the following critical domains:

- Data Privacy Regulations
- Cybersecurity Standards
- Artificial Intelligence Governance
- Enterprise Technology Service Regulations
- International Data Transfer Protocols

## 2. REGULATORY COMPLIANCE MATRIX

### 2.1 Data Privacy Compliance

#### 2.1.1 GDPR Compliance Status

- ☐ Full GDPR compliance assessment completed
- ☐ Data protection impact assessments (DPIA) implemented
- ☐ Individual data subject rights mechanisms established
- Compliance Percentage: 92%

#### 2.1.2 CCPA/CPRA Compliance

- ☐ California consumer data rights protocols verified
- ☐ Data deletion and opt-out mechanisms implemented
- Compliance Percentage: 88%

## **2.2 Cybersecurity Regulatory Standards**

### **2.2.1 NIST Cybersecurity Framework**

- ☐ Framework alignment verified
- ☐ Comprehensive security control documentation
- ☐ Annual third-party security audits conducted
- Compliance Level: Substantial (Level 4/5)

### **2.2.2 ISO 27001 Information Security Management**

- ☐ Certification status: Active
- ☐ Last recertification date: September 15, 2023
- ☐ Continuous monitoring protocols established
- Compliance Confidence: High

## **3. AI GOVERNANCE COMPLIANCE**

### **3.1 Ethical AI Development Standards**

- ☐ Algorithmic bias mitigation protocols
- ☐ Transparent AI decision-making documentation
- ☐ Independent AI ethics review board established
- Compliance Maturity: Advanced

### **3.2 Regulatory Technology Oversight**

#### **3.2.1 AI Regulatory Tracking**

- Monitored Jurisdictions:
- United States
- European Union
- United Kingdom
- Canada
- Singapore

### **3.2.2 Emerging Regulation Preparedness**

- ☐ Proactive regulatory change monitoring system
- ☐ Quarterly compliance adaptation assessments
- ☐ Legal and technical adaptation frameworks

## **4. RISK MITIGATION AND COMPLIANCE GAPS**

### **4.1 Identified Compliance Limitations**

- Minor GDPR documentation enhancement required
- Ongoing AI transparency reporting improvements needed

### **4.2 Remediation Strategy**

- Immediate documentation updates
- Enhanced third-party compliance verification
- Continuous regulatory training program

## **5. LEGAL DISCLAIMER**

This Regulatory Compliance Checklist represents a good-faith assessment of Nexus Intelligent Systems, Inc.'s compliance status as of the preparation date. The document is intended for informational purposes and does not constitute a definitive legal certification of complete regulatory compliance.

### **5.1 Limitation of Liability**

The company reserves the right to update, modify, or revise this compliance assessment without prior notice. No representations or warranties are made regarding the absolute completeness or accuracy of the compliance status.

## **6. EXECUTION**

### **6.1 Authorized Signatures**

Dr. Elena Rodriguez

Chief Executive Officer

Nexus Intelligent Systems, Inc.

Michael Chen

Chief Technology Officer

Date: January 22, 2024