

## TOOLKIT · OPERATIONAL CHECKLISTS

# Compliance Checklists

Operational checklists for VASPs, banks, and supervisors

## DOCUMENT CONTROL

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## 1. Executive Summary

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Operational checklists for KYC, sanctions, monitoring, custody, and governance controls that supervisors expect digital-asset firms to maintain.

## 2. Scope & Applicability

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- VASP compliance and operations teams
- Bank financial-crime functions
- Supervisory examiners

## 3. Regulatory Framework

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- FATF Recommendations 10–22 and 26–35
- Basel core principles for effective banking supervision
- National rulebooks (FCA, MAS, VARA, BaFin)

## 4. Controls & Implementation

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- KYC / KYB / UBO checklists
- Sanctions screening and lookback
- Transaction monitoring tuning and governance
- Custody key-management controls
- Outsourcing and third-party risk

## 5. Supervision & Enforcement

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- Examination evidence packs
- Common findings and remediation themes
- Board attestation templates

## 6. References & Primary Sources

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- FATF Recommendations
- BCBS Core Principles
- National supervisor handbooks

## Colophon & Disclaimer

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