

CSP Act Compliance Health Check

Self-Assessment Matrix & Scope of Regulatory Review

✔ Scope of Review (8 Focus Areas)

 **Licensing & Registration**

- CSP license validity
- RQI appointment & renewal

 **Corporate Governance**

- Documented policies & procedures
- Board oversight mechanisms

 **AML/CFT Compliance**

- Customer Due Diligence (CDD) files
- Risk assessments documented
- Suspicious transaction reporting

 **Recordkeeping**

- Statutory registers maintained
- Transaction records retained

 **Fit & Proper Criteria**

- Directors meet MAS/ACRA standards
- No disqualifying offences

 **Client Management**

- Engagement letters in place
- Proper handling of client funds

 **Reporting & Filings**

- Timely annual returns & filings
- Internal review of accuracy

 **Training & Awareness**

- Staff trained on CSP Act obligations
- Ongoing compliance sessions

📈 📊 Self-Assessment Matrix

Review Area	✓ Compliant	△ Partial	✗ Non-Comp.
Licensing & Registration			
Corporate Governance			
AML/CFT Compliance			
Recordkeeping & Documentation			
Fit & Proper Criteria			
Client Management			
Reporting & Filings			
Training & Awareness			